



2017
Shared
Governance
Orientation
Reference Manual

Saturday, February 25, 2017

Chain O' Lakes Complex
200 Cypress Gardens Blvd.
Winter Haven, FL

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HISTORY OF AGENCY

History and Facts about the Agency

- Mission and Purpose
- Articles of Incorporation

FACTS ABOUT THE AGENCY

The Agricultural and Labor Program, Inc. (ALPI) is a private, nonprofit, community-based organization chartered by the State of Florida to provide assistance and services to the migrant and seasonal farm workers' population, the rural poor, and disenfranchised throughout the state. The program is designed to promote involvement of the poor in the decision-making process that affects their lives.

In the Spring of 1977, a new headquarters office of The Agricultural and Labor Program, Inc. was dedicated in a ribbon cutting ceremony near Winter Haven, Florida. The occasion pointed up a significant milestone for the Agricultural Labor Project which the Coca-Cola Company Foods Division established in 1968 to raise the quality of life for farm workers in its Florida citrus operations. Now restructured as an incorporated entity, The Agricultural and Labor Program, Inc. is well into an extended program reaching beyond the employees of Coca-Cola.

ALPI's programs are based on five underlying principles that guide its activities. They are as follows:

1. **Involvement of People:** Programs will be effective only to the extent that they fully involve workers themselves in determining solutions to their own problems thereby creating their own destiny.
2. **Emphasis on long-term Accomplishments Rather Than Promises:** The emphasis of the programs must be on accomplishments rather than promises.
3. **Assurance of Economic Viability:** The programs will be truly successful only when their economic base is viable, self - sustaining, and self-expanding.
4. **Emphasis on self-help:** Programs will emphasize the self-help potentials that exist within all individuals.
5. **A Sound Integrated Total Systems Approach:** The complexities of the problems confronted in the projects call for systematic, sustained, and fully integrated approaches to bring about social change.

The organization, as mandated by the Guiding Principles, designs and seeks funding for programs that are addressed to the following areas:

Social Services, Employment and Training, Child Development, Housing, Community Awareness, Energy, Education, Health Education, Information and Referral, Nutrition and Economic Development

In the years since the project was originally founded by Coca-Cola, The Agricultural and Labor Program, Inc. has continued to grow and to expand agency efforts to assist those persons that the organization was chartered to serve. This effort is continuous and will exist as long as there are persons needing service.

For this reason, The Agricultural and Labor Program, Inc. will always be known as **"A Project in Progress."**



The APLI
Mission
Statement

The mission of the Agricultural and Labor Program, Inc. is to propose, implement, and advocate developmental and human service delivery programs for the socially and economically disadvantaged; children and families; and farmworkers.

In the forty plus years since our humble beginnings, the Agricultural and Labor Program has grown to be the most wide reaching aid organization in the state of Florida. We continue to commit ourselves to bridging social and economic gaps through public service and the creation of opportunity where there was none before.

STATE OF FLORIDA

DEPARTMENT OF STATE



I certify that the following is a true and correct copy of

CERTIFICATE OF INCORPORATION

OF

THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED

filed in this office on the 3rd day of May,

19 76

Charter Number: 735710

GIVEN under my hand and the Great
Seal of the State of Florida, at
Tallahassee, the Capital, this the
3rd day of May,
19 76.

SECRETARY OF STATE

FILED
MAY 3 4 24 PM '78
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

ARTICLES OF INCORPORATION
OF
THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED
(A Corporation Not For Profit)

The undersigned subscribers to these Articles of Incorporation, each a natural person competent to contract, hereby voluntarily associate themselves together to form a Corporation, not for profit, under the laws of the State of Florida, and do hereby certify:

ARTICLE I - NAME

The name of this Corporation is The Agricultural and Labor Program, Incorporated. The initial street address of the principal office of the Corporation is 7301 Lynchburg Road, Winter Haven, FL.

ARTICLE II - PURPOSE

The specific purpose for which this Corporation is formed is to assist agricultural workers, disadvantaged, disenfranchised persons and other interested members of the community and their family members in cooperatively meeting their needs for better health, education, social services, home life, economic opportunities and human relation. In furtherance of this purpose, the Corporation shall have all powers conferred by Chapter 617 of the Florida Statutes, and those powers, rights and privileges shall include, but are not limited to the following: to provide research for the foregoing purposes; to provide advisory service to disadvantaged agricultural workers and disenfranchised people; to develop projects and to help aid and assist their furtherance; to provide leadership training for those involved in service to agricultural workers, disadvantaged and disenfranchised people; to find, train, and assist volunteers in service to agricultural workers, disadvantaged and disenfranchised people; to provide and assist in the obtaining of suitable housing; to provide funds

whenever possible for training and assisting; to assist in welfare programs but to engage in such welfare programs as are feasible; to participate in, to the fullest extent practicable, all Governmental Programs as passed in the Congress of the United States of America; to acquire funds from any source for all of the foregoing purposes, such as foundations, state and Federal Government agencies, or corporations, but not limited to, in the support of the foregoing purposes, and to expand the same with the full discretion of the Board of Directors and Executive Committee as created hereinafter on a non-profit basis; to create an Advisory Council in each of the four regional offices currently in operation, Southern, Eastern, Central and Northern, and to continue same in any new regional offices that may be created for the purpose of aid and counsel to the Board of Directors; to participate in such other charitable and philanthropic projects and activities as shall from time to time be feasible, and to do any and all manner of things as may be necessary to carry out the intents and purposes of this section; and to carry out the above activities in the State of Florida and such other states as the Board of Directors may determine.

In order to promote the purposes of this corporation, it may acquire property by grant, gift, purchase, devise or bequest, and hold, mortgage and dispose of such property as the corporation shall require for the benefit of the members and not for pecuniary profit.

To do any and all other things necessary or proper to the achievement of any or all of the above purposes and to any and all things permitted to non-profit organizations under any by virtue of the Laws of the State of Florida and the United States.

The foregoing provisos of this Article are to be construed as both objects and powers, and it is expressly provided that said objects and powers shall in no sense be limited by any other proviso of these Amended Articles of Incorporation, but shall be regarded as independent objects and powers, provided, however, that nothing herein contained shall be construed as authority to carry

on business or exercise any power or undertake any act which may be inconsistent with Chapter 617 of the Florida Statutes, or in anywise inconsistent with Section 501 (c)(3) of the Internal Revenue Code of 1954.

ARTICLE III - QUALIFICATION FOR MEMBERSHIP

All agricultural workers, disadvantaged, disenfranchised persons and other interested members of the Community and those persons who subscribed to the objectives and purposes of this Corporation are qualified for membership. Members shall be admitted upon application for membership and approval of their application at the regional areas. The regionals may, in their discretion, admit applicants whether or not they reside in the State of Florida or another state.

ARTICLE IV - TERM

This Corporation shall have perpetual existence.

ARTICLE V - SUBSCRIBERS

The names and residences of the Subscribers hereto are as follows:

<u>Names</u>	<u>Addresses</u>
Leroy McGill	Rt. 1 - Box 144, Polk City, FL 33868
Elizabeth Hudson	2516 Experiment Stn. Rd, Polk City, FL
Mary L. Sauls	P. O. Box 3786, Winter Haven, FL 33880
Willie Axson	Rt. 1 - Box 144, Polk City, FL 33868
Wilbert McTier	1926 Third St., NE, Winter Haven, FL 33880
Arabelle Wiggins	2303 Ninth Court, NE, Winter Haven, FL 33888

ARTICLE VI - OFFICERS

Section 1. The officers of the corporation shall be a Chairman, Vice-Chairman, Secretary, and a Treasurer who shall hold office until their successors are duly elected and shall have qualified, and such other officers as may be provided for in the By-Laws.

Section 2. The names of the persons who are to serve as officers of the corporation until the first meeting of the Board of Directors are:

<u>Office</u>	<u>Name</u>
Chairman	Leroy McGill
Vice-Chairman	Elizabeth Hudson
Secretary	Mary L. Sauls
Treasurer	Willie Axson

Section 3. The officers shall be elected by the Board of Directors from their own number at the first meeting of the Board of Directors following the annual meeting of the corporation or as provided in the By-laws.

Section 4. Interim vacancies in the officers of the corporation shall be filled by the Board of Directors as provided in the By-laws.

ARTICLE VII - DIRECTORS

Section 1. The business affairs of this corporation shall be managed by a Board of Directors consisting of not less than six (6) nor more than twenty-four (24) members of which four will be appointed at-large by the designated Board of Directors. The number of Directors may be increased from time to time, by the By-laws, but shall never be less than six (6).

Section 2. The Board of Directors shall be members of either the Southern, Eastern, Central or Northern regions with the exception of four (4) members to be appointed at-large by the designated Board of Directors.

Section 3. Members of the Board of Directors shall be elected and hold office in accordance with the By-laws.

Section 4. Any new Regions created will have equal representation on the Board of Directors with those already in existence.

Section 5. Interim vacancies in the elected members of the Board of Directors shall be filled by the Regional Advisory Council from which that member came, or, as provided for in the By-laws.

Section 6. The name and addresses of the persons who are to serve as Directors until their successors are duly elected and shall have qualified, are:

<u>Name</u>	<u>Address</u>
Leroy McGill	Rt. 1 - Box 144, Polk City, FL 33868
Elizabeth Hudson	2516 Experiment Stn. Rd., Polk City, FL
Mary L. Sauls	P. O. Box 3786, Winter Haven, FL 33880
Willie Axson	Rt. 1 - Box 144, Polk City, FL 33868
Wilbert McTier	1926 Third St., NE, Winter Haven, FL 33880
Arabelle Wiggins	2303 Ninth Court, NE, Winter Haven, FL 33880

ARTICLE VIII* - REGIONAL ADVISORY COUNCIL

Section 1. The corporation shall be divided into four (4) regions, Southern, Eastern, Central and Northern, with each region being headed by a Regional Advisory Council, each Regional Advisory Council shall consist of a membership of not less than four (4) nor more than eighteen (18), and who shall be selected as provided in the By-laws.

Section 2. Regions may be added or modified as provided in the By-laws.

Section 3. The duties and responsibilities of the Regional Advisory Councils shall be as determined in the By-laws.

ARTICLE IX - BY-LAWS

Section 1. The By-laws of the corporation shall be made, altered, amended or rescinded at the annual meeting of the corporation by a two-thirds vote of those voting in person. All amendments brought before the annual meeting must be submitted to the Board of Directors in written form at least one (1) month prior to the annual meeting.

Section 2. The By-laws may also be amended at a special meeting of the corporation called by the Board of Directors for the specific purpose of amending the By-laws. A two-thirds vote of those persons voting in person is required for amendment. All amendments brought before the Corporation must be submitted in written form at least one (1) month prior to the corporation meeting.

ARTICLE X - ARTICLES OF INCORPORATION

Amendments to the Articles of Incorporation may be proposed by any member of the corporation, and upon affirmative vote by two-thirds of the Board of Directors recommending the adoption of same, said amendment shall be submitted to a vote of the membership. Upon approval of a proposed amendment by two-thirds of the membership present at such meeting, and the filing thereof with the Secretary of State, any such proposed amendment shall become effective.

ARTICLE XI - NON-PROFIT STATUS

No part of the net earnings of the corporation shall inure to the benefit of any individual or member.

ARTICLE XI - DISSOLUTION

Should this Corporation be dissolved, other than incident to merger or consolidation, the assets of the Corporation shall be dedicated, granted, conveyed and assigned to any non-profit public or private agency, corporation, association, trust or similar organization devoted to and used for purposes similar to those for which this Corporation was created, so long as said grant, dedication, conveyance or assignment shall not be inconsistent with Section 501 (c)(3) of the Internal Revenue Code of 1954.

IN WITNESS WHEREOF, we, the undersigned subscribing incorporators, have hereunto set our hands and seals this 9th day of February, 1976, for the purpose of forming this corporation not for profit under the laws of the State of Florida.

Leroy McGill (SEAL)
Leroy McGill

Elizabeth Hudson (SEAL)
Elizabeth Hudson

Mary L. Sauls (SEAL)
Mary L. Sauls

Willie Axson (SEAL)
Willie Axson

Wilbert McTier (SEAL)
Wilbert McTier

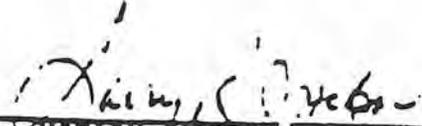
Arabelle Wiggins (SEAL)
Arabelle Wiggins

STATE OF FLORIDA :
 : SS
COUNTY OF POLK :

I HEREBY CERTIFY that on this day, before me, an officer duly authorized to take acknowledgments, personally appeared Leroy McGill, Elizabeth Hudson, Mary L. Sauls, Willie Axson, Wilbert McTier and Arabelle Wiggins to me well known to be the subscribers to the foregoing Articles of Incorporation of THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED, who, being by me, first duly sworn,

acknowledged that they signed the same for the purpose therein expressed.

WITNESS my hand and seal at Auburndale, Florida, this
9th day of February 1976.



NOTARY PUBLIC
State of Florida at Large

MY COMMISSION EXPIRES: _____

CERTIFICATE DESIGNATING PLACE OF BUSINESS OR DOMICILE FOR THE SERVICE OF PROCESS WITHIN FLORIDA, NAMING AGENT UPON WHOM PROCESS MAY BE SERVED

IN COMPLIANCE WITH SECTION 48.091, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED:

FIRST--THAT The Agricultural and Labor Program, Incorporated.
(NAME OF CORPORATION)

DESIRING TO ORGANIZE OR QUALIFY UNDER THE LAWS OF THE STATE OF FLORIDA,
WITH ITS PRINCIPAL PLACE OF BUSINESS AT CITY OF Winter Haven,
(CITY)

STATE OF Florida, HAS NAMED William H. Ravenell,
(STATE) (NAME OF RESIDENT AGENT)

LOCATED AT 1600 Laguna Drive,
(STREET ADDRESS AND NUMBER OF BUILDING,
POST OFFICE BOX ADDRESSES ARE NOT ACCEPTABLE)

CITY OF Tallahassee, STATE OF FLORIDA, AS ITS AGENT TO ACCEPT
(CITY)

SERVICE OF PROCESS WITHIN FLORIDA.

FILED
MAY 3 4 24 11 1976
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

SIGNATURE _____
(CORPORATE OFFICER)

TITLE _____

DATE _____

HAVING BEEN NAMED TO ACCEPT SERVICE OF PROCESS FOR THE ABOVE STATED CORPORATION, AT THE PLACE DESIGNATED IN THIS CERTIFICATE, I HEREBY AGREE TO ACT IN THIS CAPACITY, AND I FURTHER AGREE TO COMPLY WITH THE PROVISIONS OF ALL STATUTES RELATIVE TO THE PROPER AND COMPLETE PERFORMANCE OF MY DUTIES.

SIGNATURE Stephen N. Russell
(RESIDENT AGENT)

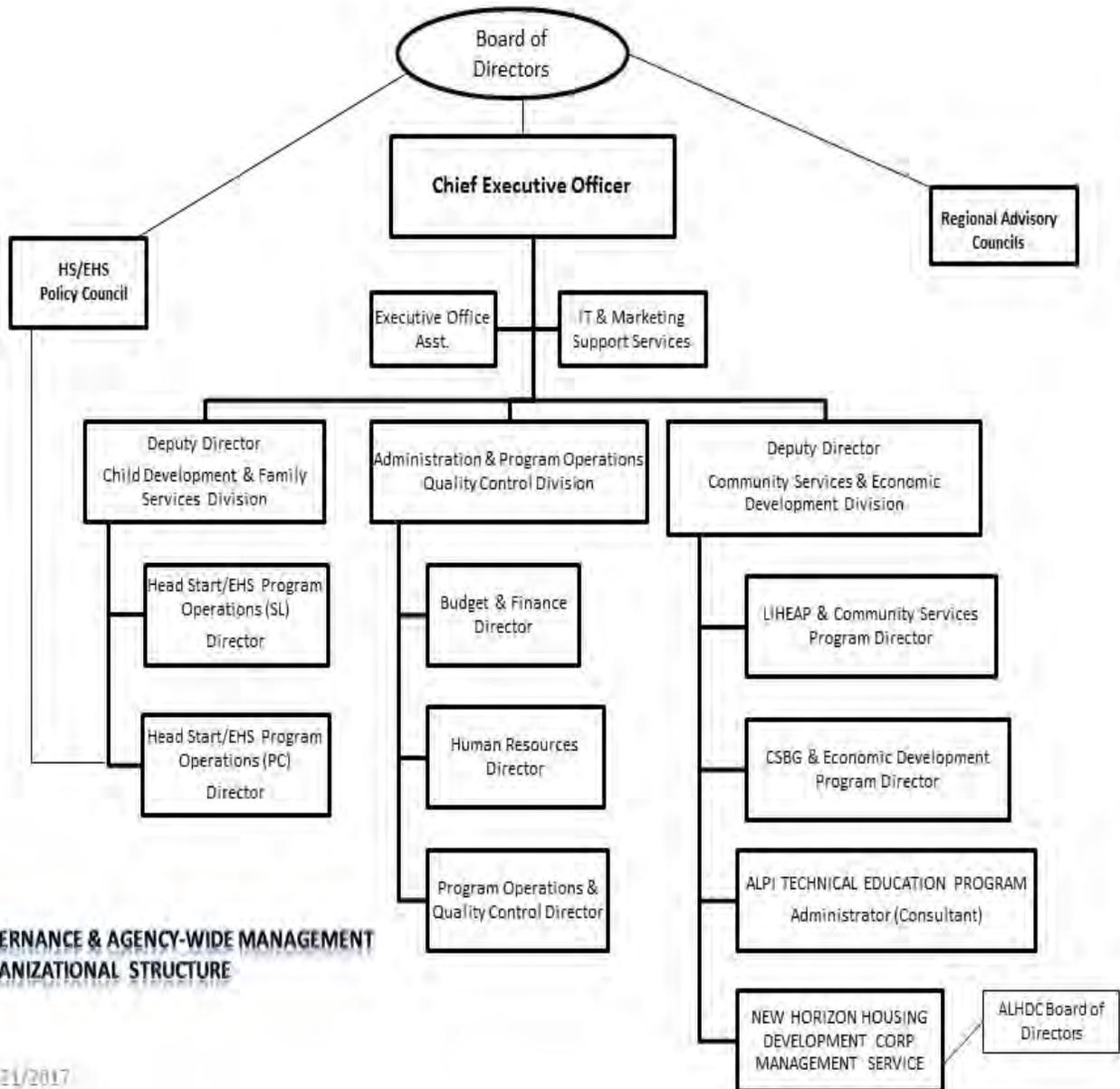
DATE May 3, 1976

ORGANIZATION STRUCTURES

- Governance and Agencywide Management Structure
- Shared Governance Structure
- Board of Directors' Roster
- Regional Advisory Council Rosters
- Head Start/Early Head Start Policy Council Roster
- Management Directory

ORGANIZATION STRUCTURE AT-A-GLANCE

The Agricultural and Labor Program, Inc.'s capacity to establish and maintain effective oversight of program operations and accountability for federal funds starts with the Board of Directors who continues to demonstrate a strong foundation of leaderships at the national, state and local levels. Moreover, the Board of Directors are legally and fiscally responsible and continue to demonstrate its effective oversight of quality services for the children and families for making decisions related to program design and implementation; under the leadership of the Chief Executive Officer who is responsible for leading the organization and its staff in pursuit of the goals and objectives established by the Board in the organization's Strategic Plan and annual operating plan. The following chart represents ALPI's Governance and Agency- Wide Management Organizational Structure.



GOVERNANCE & AGENCY-WIDE MANAGEMENT ORGANIZATIONAL STRUCTURE

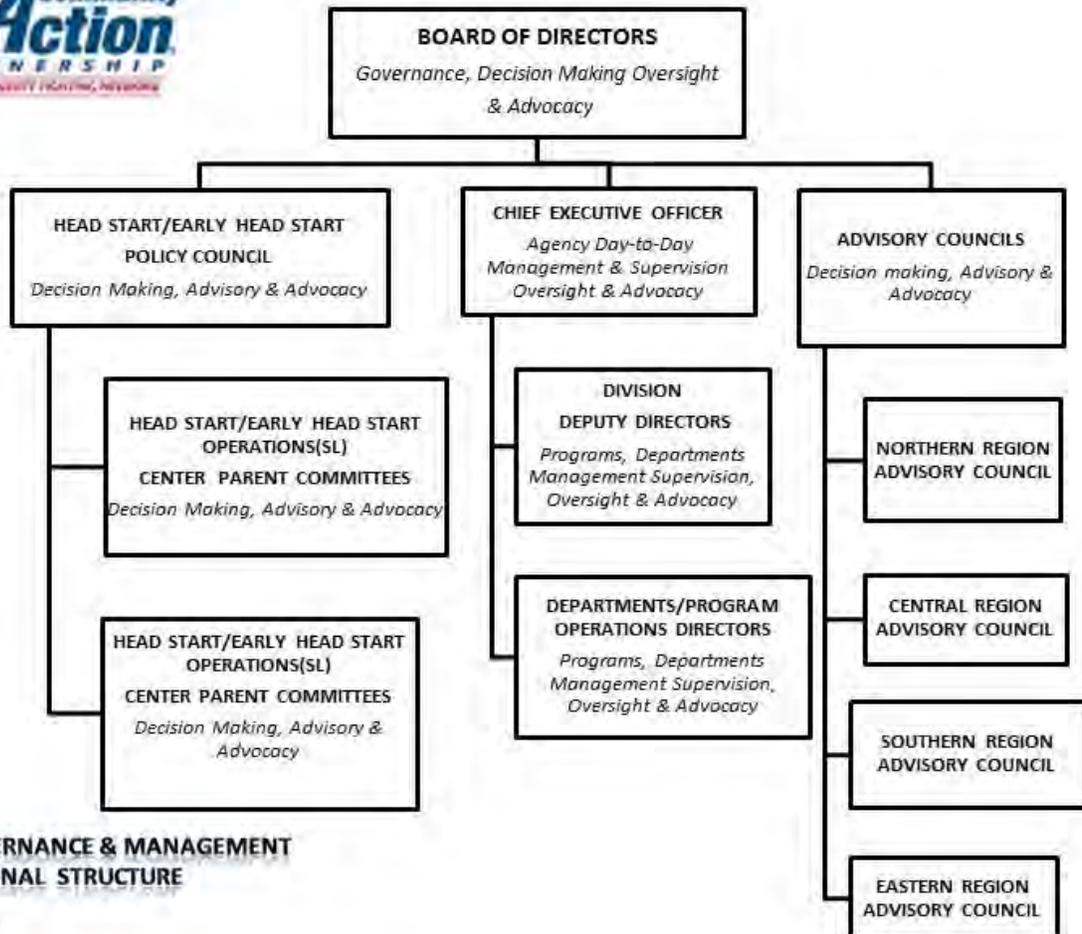
2/21/2017

SHARED GOVERNANCE STRUCTURE AT-A-GLANCE

BOARD OF DIRECTORS

The Agricultural and Labor Program, Inc. (ALPI) is a non-profit Organization that is governed by an 18 (voting) member board of Directors. The ALPI Board membership consists of representatives from the Regional Advisory Councils, the Head Start Policy Council and the community at large. ALPI is governed in accordance with its established By-laws, which include the function and purpose of the Councils.

The Board of Directors composition consists of not less than nine (9) or more than twenty-four (24) voting members. The Board membership, in accordance with the CSBG Tripartite Requirement, is equally divisible by three (3) at all times. All Board members eligible to vote will be identified by one of three designations. These are: (1) Elected public officials; (2) Low income community representatives; and (3) Local business leaders/others.



SHARED GOVERNANCE & MANAGEMENT ORGANIZATIONAL STRUCTURE

3/21/2017

SHARED GOVERNANCE STRUCTURE AT-A-GLANCE

HEAD START/EHS POLICY COUNCIL

The Head Start/EHS Policy Council is responsible for the direction of the Head Start program under the supervision and oversight of the ALPI Board of Directors, including the Head Start/Early Head Start program design and operation, and long- and short-term planning goals and objectives, taking into account the annual communitywide strategic planning and needs assessment and self-assessment.

The Policy Council composition consists of 78% of parents whose children are currently enrolled in the Early Head Start Program; and 22% of Community Social Services agencies. Contracted Child Care Partners agree deliver parent involvement and community services, which include establishing and maintaining an Early Head Start Parent Committee.

ADVISORY COUNCILS

Advisory Councils to the organization serve important functions, they are vital to the success of the organization. Councils: (1) are good will ambassadors, (2) are knowledgeable about the missions of the organization, (3) support the organization, (4) are vital communication links to the communities that the organization serve, and (5) seek at all times to follow the rules designed by the organization.

Unlike the Policy Council and Policy Committee who are decision makers, the advisory councils do not make decisions for the organization. They advise decision-makers who may use the advice given them in making decisions for the organization.





THE AGRICULTURAL AND LABOR PROGRAM, INC.
2017-2018
BOARD OF DIRECTORS
MEMBERSHIP ROSTER

Sector: Public

Name/Current Position on Board Representation Designation/County Employer/Position	Mailing Address (no P.O. Boxes) E-Mail Address	Telephone #-s Home: Office: Cell:	Date when originally seated on board	Date when seated for current term	Total # of years served on board	Expiration Date of current term
Josephine Howard, Secretary Commissioner Roy Tyler - City of Haines City Citizen Designee (Polk County) Polk County School Board/Retired Principal	2711 Orchid Drive Haines City, FL 33844 Jolizhow13@yahoo.com	H: (863) 422-0875 O: N/A C: (863) 221-2644	January 1988	January 2017	29	January 2019
Dorothy Curry, Member Commissioner Velma Williams – City of Sanford Citizen Designee (Seminole County) UNITE/Retired Union Business Representative	2203 W. 13 th Street Sanford, FL 32771 N/A	H: (407)323-2099 O: N/A C: N/A	June 2009	January 2016	8	January 2018
Kim Johnson, Member Mayor Linda Hudson - City of Ft. Pierce Citizen Designee (St. Lucie County) Self Employed/Motivational Speaker	4888 Kings Hwy Fort Pierce, FL 34951 Kimjohnson.slc@gmail.com	H: O: C: (321) 662-6536	February 2016	January 2017	1	January 2019
Marjorie Gaskin, Treasurer Commissioner Rufus Alexander - City of Ft. Pierce Citizen Designee (St. Lucie County) City of Ft. Pierce/Retired IT Director	1511 N. 21 st Street Ft. Pierce, FL 34950 mbgaskin2@gmail.com	H: (772) 464-0243 C: (772) 475-3194	January 1982	January 2016	35	January 2018
Lester Roberts, Member Deputy Mayor Brenda Gray – City of Avon Park Citizen Designee (Highlands County) US Government/Retired Postal Worker	1002 S. Waldron Avenue Avon Park, FL 33825 lesterarob06@yahoo.com	H:N/A O:N/A C: (863) 257-4164	January 1995	January 2016	22	January 2018
Kimberly Ross, Member Commissioner Emma Byrd –Hendry BoCC Citizen Designee (Hendry County) Hanley Center Foundation/Social Worker	P.O. Box 1214 Clewiston, FL 33440 rosssixnine@netzero.com	H: O: C: (863)233-6500	June 2015	January 2017	2	January 2019
Samuel Thomas, Member Glades County BoCC Citizen Designee (Glades County) Glades County School Board/Educator	P.O. Box 518 Moore Haven, FL 33471 anthonythomas2k2@gmail.com	H: (239)738-0827 O: C: (863) 983-1530	January 2017	January 2017	<1	January 2019

Sector: Private

Name/Current Position on Board Representation Designation (County) Employer/Position	Mailing Address (no P.O. Boxes) E-Mail Address	Telephone #s Home: Office: Cell:	Date when originally seated on board	Date when seated for current term	Total # of years served on board	Expiration Date of current term
Patricia Gamble, Member CGWT Outreach Resource Center Organization Designee (Polk County) Department of Revenue/Tax Specialist I	1020 Anderson Avenue Lakeland, FL 33805 gambpt@aol.com	H: (863)603-8852 O: (863) 284-4245 C: (863) 838-5111	January 2001	January 2017	16	January 2019
Vernon McQueen, Member Duke Energy Florida Company Designee (Seminole County) Duke Energy/Program Manager	804 E. 14 th Street Sanford, FL 32771 vmcqueen@hotmail.com	H: (407) 321-6950 O: (407) 942-9661 C: (321) 262-6564	January 1999	January 2017	18	January 2019
Katie Clarke, Member Lakeview Park Homeowner Association Organization Designee (Polk County) Sprint Telecommunications/Retired Customer Service	37 Banneker Lane Frostproof, FL 33843 N/A	H: (863) 635-4928 O: N/A C: (863) 605-1330	January 2004	January 2016	13	January 2018
Glenda Jones, Member Winter Haven Neighborhood Service Center Organization Designee (Polk County) Winter Haven Hospital/Executive Director	608 Avenue S, NE Winter Haven, FL 33881 nsc1glenda@netscape.net	H: (863) 294-5860 O: (863) 294-5860 C: N/A	January 2012	January 2016	5	January 2018
Stacy Campbell-Domineck, Member CareerSource Polk Company Designee (Polk County) CareerSource Polk/Chief Executive Officer	600 N. Broadway, Suite B Bartow, FL 33830 stacy.campbell- domineck@careersourcepolk.com	H: (863) 899-6597 O: (863) 508-1600 C:	February 2016	January 2017	1	January 2019
David Walker, Vice-Chairperson Law Office of David Walker, PA Company Designee (Martin County) Law Office of David Walker, PA/Attorney	10 SE Central Parkway, Ste 225 Stuart, FL 34994 davidwalkerlaw@aol.com	H: (772) 286-1469 O: (772) 286-8686 C: (772) 708-6632	January 2001	January 2017	16	January 2019
Chester McNorton, Member ATEC Advisory Council Advisory Council Designee (Volusia County) Training Initiative, Inc./Workshop Presenter	644 Magnolia Avenue Daytona Beach, FL 32114 chestermcnorton@yahoo.com	H: N/A O: (386) 740-3242 C: (386) 341-7586	January 2007	January 2017	10	January 2019

Sector: Low Income

Name/Current Position on Board Representation Designation/County Employer/Position	Mailing Address (no P.O. Boxes) E- Mail Address	Telephone #-s Home: Office: Cell:	Date when originally seated on board	Date when seated for current term	Total # of years served on board	Expiration Date of current term
William Holt – Board Chairperson Eastern Region Advisory Council Advisory Council Designee (Indian River Co.) Helseth Financial/Retired Mortgage Banker	4129 57 th Avenue Vero Beach, FL 32967 1946holt@gmail.com	H: (772) 562-8377 O: N/A C: (772) 538-4280	January 1990	January 2017	27	January 2019
Annie Robinson, Member Southern Region Advisory Council Advisory Council Designee (Polk County) East Coast Migrant Head Start/Center Manager	748 Hunt Street Lake Wales, FL 33853 mrsrob1@yahoo.com	H: (863) 676-4008 O: (863) 285-8210 C: (863) 232-8899	January 2014	January 2016	3	January 2018
VACANT, Member Southern Region Advisory Council Advisory Council Designee (Glades County)						JANUARY 2019
Marva Hawkins, Member Northern Region Advisory Council Advisory Council Designee (Seminole County) Sanford Herald/Retired Columnist	1004 W. 13 th Street Sanford, FL 32772 marvahawkins@earthlink.net	H: (407) 322-5418 O: N/A C: (407) 416-4234	January 1984	January 2017	33	January 2019
Corey Williams, Member Head Start/Early Head Start Policy Council HS/EHS Policy Council Designee (St. Lucie County) Gold's Gym/Assistant Manager-Personal Trainer	7700 Pine Lakes Blvd, #7495 Port St. Lucie, FL 34952 wllmscorey@yahoo.com	H: (772) 467-4500 O: C: (954) 607-9471	November 2016	November 2016	<1	October 2017
Ruby Willix, Member Central Region Advisory Council Advisory Council Designee (Polk County) State of Florida/Retired Clerical Supervisor	2876 Dudley Drive Bartow, FL 33830 rubywillix@comcast.net	H: (863) 537-6677 O: N/A C: (863) 207-1822	January 2008	January 2016	9	January 2018
LaVita Holmes, Member Southern Region Advisory Council Advisory Council Designee (Hendry County) Kwik Release Bail Bonds/Bail Bonds Agent	901 Florida Avenue Clewiston, FL 33440 kwikrelease863@gmail.com	H: (863) 288-2076 O: (863) 983-9900 C: N/A	June 2015	January 2017	2	January 2019

Date of Last Revision: February 2017



**CENTRAL REGION ADVISORY COUNCIL
MEMBERSHIP ROSTER
2016-2017**

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Term: 2014-2017

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Term: 2015-2018

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Term: 2015-2018

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Term: 2015-2018

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VACANCIES - 1
Term: 2014-2017

VACANCIES - 2
Term: 2015-2018

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Term: 2015-2018

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Term: 2015-2018

VACANIES - 4
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Term: 2014 - 2017

** 2016-2018 Board Rep

Eff. 10/2016



EASTERN REGION ADVISORY COUNCIL MEMBERSHIP ROSTER

2016-2017

Revised 10/26/16

****William Holt, Chairperson**
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Term 2016-2019

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Term: 2015-2018

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Term 2015-2018

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Vacant
Term: 2014-2017

Vacant
Term: 2014-2017

Vacant
Term 2014-2017

****Board of Directors Term 2015-2017**



NORTHERN REGION ADVISORY COUNCIL 2016-2017 MEMBERSHIP ROSTER

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PATRICIA H. JAMES

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Term: 2015-2019

****ALPI Board Representative**



The Agricultural and Labor Program, Inc. 2017 Southern Region Advisory Membership Roster

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Term: 2014-2017

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Term: 2016-2019

VACANT
Term: 2015 – 2018
Term: 2015 – 2018

VACANT
Term: 2016 – 2019
Term: 2016 -- 2019

**** 2016-2018 Board Representative**



**The Agricultural and Labor Program, Inc.
2016-2017 Head Start/Early Head Start Policy Council Roster**

REPRESENTATIVES			
<p>Corey Breon Williams 7700 Pine Lakes Blvd., Apt. #7495 Port St. Lucie, FL 34952 (772) 467-4500 & (954) 607-9471 Child Development & Family Services CHAIRPERSON & PC BOARD REPRESENTATIVE</p>	<p>Rhonda Boston 919 South 25th Street, Apt. B9-201 Fort Pierce, FL 34947 (772) 940-3687 Garden Terrace Head Start ASSISTANT SECRETARY</p>	<p>Brittney Thomas 3003 Kingsley Drive Fort Pierce, FL 34946 (772) 464-5262 & (772) 828-8883 Lincoln Park Head Start</p>	<p>Cynthia Penton 206 Essex Drive Fort Pierce, FL 34946 (772) 353-8161 Queen Townsend HS Center II</p>
<p>Haydian Allen 5082 NW Rugby Drive Port St. Lucie, FL 34983 (772) 475-6089 & (772) 343-8568 Child Development & Family Services</p>	<p>Nijonia Patterson 202 Calypso Drive Fort Pierce, FL 34947 (772) 626-8697 Garden Terrace Head Start VICE-CHAIRPERSON</p>	<p>Nicole Sikes 303 South 29th Street Fort Pierce, FL 34947 (772) 647-0352 Lincoln Park Head Start</p>	<p>Raquel Garcia 5605 Shannon Drive Fort Pierce, FL 34951 (772) 647-1430 Queen Townsend HS Center II</p>
<p>Tychus Doe 2204 North 53rd Street Fort Pierce, FL 34946 (772) 559-8505 George W. Truitt Family Services SECRETARY</p>	<p>Samantha Lindsay 904 North 23rd Street Fort Pierce, FL 34950 (772) 626-7955 George W. Truitt Family Services</p>	<p>Jasmin Canion 2903 Avenue J, Apt. B Fort Pierce, FL 34947 (772) 801-4003 Loving Care Child Development</p>	<p>Danielle Parrish 2505 Donald Avenue Fort Pierce, FL 34946 (772) 267-1084 Francina Duval Head Start</p>
<p>Donna Gibson Parent Academy of St. Lucie County 2940 South US 1, Suite C-12 Fort Pierce, FL 34982 Telephone: (772) 466-0523 Community Representative</p>	<p>Juan Rushing 46 Queens Ct. Frostproof, FL 33843 (863) 344-1026 (863) 256-2483 Frostproof Child Development</p>	<p>Melissa Boatwright 1655 N. 29th Street Fort Pierce, FL 34947 (772) 828-8938 Learning Tree Academy</p>	<p>Crystal Mike Former Parent 122 SW Glenwood Drive Port St. Lucie, FL 34984 Telephone: (772) 519-4119 Community Representative</p>
<p>Josephine Howard 2711 Orchid Drive Haines City, FL 33844 (863) 422-0875 (863) 221-2644 Board Representative to the PC Community Representative</p>	<p>Dr. Lisa Griffith Program Director for Nutrition and Dietetic, Keiser University 10330 S. Federal Highway Port St. Lucie, FL 34952 Telephone: (888) 534-7379 Community Representative</p>	<p>Karen Bailey Help Me Grow Coordinator 211 HelpLine P.O. Box 3588 Lantana, FL 33465 Telephone: (772) 217-0386 Community Representative</p>	
ALTERNATES			
<p>Marisa Paige Knyshka 412 NW Sherbrooke Ave. Port St. Lucie, FL 34983 (772) 530-9935 Child Development & Family Services</p>	<p>Kim Kleckley 2801 Avenue L, Apt. 34 Fort Pierce, FL 34947 (772) 801-7250 Garden Terrace Head Start</p>	<p>Toni Morgan 3104 Avenue I, Apt. B Fort Pierce, FL 34947 (772) 267-7221 & (772) 323-7153 Lincoln Park Head Start</p>	<p>Magnolia Washington 1205 North 27th Street Fort Pierce, FL 34947 (772) 626-5600 Queen Townsend HS Center II</p>
<p>Jacqueline Castaneda 850 SW Goodrich St. Port St. Lucie, FL 34983 (954) 655-1439 Child Development & Family Services</p>	<p>Jasmine Prtchett 2801 Avenue L, Apt. 36 Fort Pierce, FL 34947 (772) 940-7411 Garden Terrace Head Start</p>	<p>Zulma Rosario 318 North 19th Street Fort Pierce, FL 34950 (772) 828-7073 Lincoln Park Head Start</p>	<p>Roshanda Porter 2703 Avenue H Fort Pierce, FL 34947 (305) 896-1683 Queen Townsend HS Center II</p>
<p>Satorial Calhoun 1655 North 29th Street #901 Fort Pierce, FL 34947 (772) 267-5774 George W. Truitt Family Services</p>	<p>Sharee Harris 3401 South 7th Street Fort Pierce, FL 34982 (772) 465-9135 & (772) 882-0401 George W. Truitt Family Services</p>	<p>Guilene Timothies 7502 Deland Avenue Fort Pierce, FL 34957 (772) 940-8739 Loving Care Child Development</p>	<p>Antonia Jackson 2155 SW Azure Avenue Port St. Lucie, FL 34953 (772) 212-3159 Francina Duval Head Start</p>
<p>Bryuana Barnett 39 Queens Ct., Frostproof, FL 33843 (863) 605-9072 Frostproof Child Development</p>	<p>Viola Strowbridge-Lloyd 3002 Langston Drive Fort Pierce, FL 34950 (772) 940-4184 Learning Tree Academy</p>		

2016-2017 MANAGEMENT DIRECTORY

THE AGRICULTURAL AND LABOR PROGRAM, INC.

CORPORATE OFFICE

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(863) 956-3491
(863) 956-3357 Fax

EXECUTIVE ADMINISTRATION

Deloris Johnson, Chief Executive Officer
Extension 206 - djohnson@alpi.org

ADMINISTRATION & OPERATIONS QUALITY CONTROL DEPARTMENTS

Budget and Finance

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Operations & Quality Control

Twila Smith, Director
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Pa-Houa Lee-Yang, Director
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**BYLAWS
OF
THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED**

ARTICLE I - SCOPE

- Section 1** The name of this organization shall be **The Agricultural and Labor Program, Incorporated**. It shall also be known by its acronym: **ALPI**.
- Section 2** The Agricultural and Labor Program, Incorporated shall be incorporated under the laws of the State of Florida as a non-profit, tax exempt organization.
- Section 3** The Agricultural and Labor Program, Incorporated's Fiscal Year shall be from July 1 through June 30 of each year.

ARTICLE II - PURPOSE

- Section 1** The specific purpose for which this Corporation is formed is to assist agricultural workers, disadvantaged, disenfranchised persons and other interested members of the community and their family members in cooperatively meeting their needs for better health, education, social services, home life, economic opportunities and human relations. In furtherance of this purpose, the Corporation shall have all powers conferred by Chapter 617 of the Florida Statutes, including but not limited to the following powers: to provide research for the foregoing purposes; to provide advisory service to disadvantaged agricultural workers and disenfranchised people; to provide leadership training for those involved in service to agricultural workers disadvantaged and disenfranchised people; to develop projects and to aid and assist their furtherance; to provide and assist in the obtaining of suitable housing; to provide funds whenever possible for training and assisting targeted groups; to assist social service programs; to participate in, to the fullest extent practicable, all governmental programs as passed by the Congress of the United States of America; to acquire funds from any source for all of the foregoing purposes, such as foundations, state and federal agencies, corporations, but not limited to, in support of the foregoing purposes, and to expand the same with the full discretion of the Board of Directors and Executive Committee as created hereinafter on a non-profit basis; to create an Advisory Council in each of the four regions currently in operation, Southern, Eastern, Central and Northern, to ensure appropriate representation of the low-income community from CAA designated areas and to continue same in any new region that may be created for the purpose of aid and counsel to the Board of Directors; to participate in such charitable and philanthropic projects and activities as shall from time to time be feasible, and to do any and all manner of things as may be necessary to carry out the above activities in the State of Florida and such other states as the Board of Directors may determine.
- Section 2** In order to promote the purposes of this Corporation, it may acquire property by grant, gift, purchase, devise or bequest, and hold, mortgage and dispose of such property as the Corporation shall require for the benefit of the members and not for pecuniary profit.
- Section 3** The Agricultural and Labor Program, Incorporated may provide community, social and related services in any location approved by the Board of Directors and allowed by Law. Additionally, it shall serve as the Community Action Agency (CAA) for Polk, Highlands, Hendry and Glades Counties.

Section 4 To do any and all other things necessary or proper to the achievement of any or all of the above purposes and to do any and all things permitted by non-profit organizations under and by virtue of the laws of the State of Florida.

Section 5 The foregoing provisos of this Article are to be construed as both objects and powers, and it is expressly provided that said objects and powers shall in no sense be limited by any other proviso of these Amended Articles of Incorporation, but shall be regarded as independent objects and powers, provided, however, that nothing herein contained shall be construed as authority to carry on business or exercise any power or undertake any act which may be inconsistent with Chapter 617 of the Florida Statutes, the CSBG ACT or in any way inconsistent with Section 501(c)(3) of the Internal Revenue Code of 1954.

ARTICLE III - DUTIES OF THE BOARD

Section 1 The affairs of the Corporation shall be administered by a Board of Directors elected by the Corporation as outlined in these Bylaws. The Board shall have the responsibility of seeing that the purposes outlined in these Bylaws are achieved.

The Board is authorized and empowered to delegate and assign the task of administering and implementing its duties to an Executive Committee, whose actions and activities shall be at all times subject to limitation and direction by the Board of Directors.

Section 2 The Board shall be responsible for employing a Chief Executive Officer who shall lead the agency and its staff in pursuit of the objectives established by the Board in the agency's strategic plan and annual operating plan and shall be responsible for the supervision of all agents and employees of the Corporation. Additionally, the Chief Executive Officer shall be responsible for the day to day operation and administration of the Corporation subject to limitations and restrictions imposed by the Board of Directors.

Section 3 The Board shall have fiduciary responsibility for all assets of the Corporation. Expenditures and disbursements of corporate funds may be made upon such terms as established by the Board.

Section 4 The Corporation shall indemnify the members of the Board for all acts taken in good faith, within the scope of the Board's responsibility, and on behalf of the Corporation.

Section 5 The Board shall be responsible for ensuring that the activities carried out under its direction are in conformity with its Bylaws and Articles of Incorporation and that its tax exempt, non-profit status is maintained.

ARTICLE IV - COMPOSITION OF THE BOARD

Section 1

The Board shall consist of not less than nine (9) nor more than twenty-four (24) voting members. Total Board membership, in accordance with the CSBG Tripartite Requirement, shall be equally divisible by three (3) at all times. All Board members eligible to vote shall be identified by one of three designations. These are: (1.) Elected public officials; (2.) Low- income community representatives; and, (3.) Local business/other representatives.

a. Tripartite Requirements:

- (1) Elected Public Officials** – One third (1/3) of all voting members shall be comprised of elected public officials selected by the ALPI Board of Directors. Of these members, at least one (1) each shall be from Polk, Highlands, Hendry, and Glades Counties. The remaining elected public officials shall be selected by the ALPI Board of Directors from counties wherein ALPI provides services and may include, but is not limited to, Polk, Highlands, Hendry, and Glades Counties. Upon a finding, as documented and recorded in the ALPI Board minutes, that no elected public official is willing to serve, the ALPI Board of Directors shall select an appointed public official for membership. The term of membership of any elected and/or appointed public official on the ALPI Board of Directors shall be two (2) years and may, at the sole option of the Board of Directors, be renewed in two (2) year terms thereafter. Said membership may be terminated in accordance with these Bylaws and the Articles of Incorporation of ALPI. All public officials may appoint a representative to serve in their place by providing a letter of such appointment to the ALPI Board of Directors and, annually thereafter, providing a letter reaffirming said appointment. If the appointed representative terminates from the Board for any reason, the public official shall resume her/his membership on the Board or may appoint a new representative for the balance of the term. In any case, an appointed representative may not serve on the Board for any time beyond the public official's membership. Regardless of the term of membership, any public official's membership (elected or appointed) on the Board of Directors shall end upon termination of their public position.
- (2) Low-income Community Representatives** - No fewer than one-third (1/3) of all voting members shall be comprised of individuals representing the low-income communities wherein ALPI provides services. These individuals shall be elected through the Regional Advisory Council election process as outlined in these Bylaws. A minimum of one (1) member shall be elected from Polk, Highlands, Hendry, and Glades Counties by the appropriate Regional Advisory Council. If no members are elected, an identified County, the Board of Directors will appoint a member from each County based on the recommendations of local community leaders and organizations.
- (3) Local Business/Other Representatives** - The remainder of the members of the Board of Directors shall be officials or members of business, industry, labor, religious, welfare, education, or other major groups and interests in the community. These members will be appointed by the Board of Directors in accordance with the ALPI Bylaws and Articles of Incorporation. A minimum of one (1) member each shall be from Polk, Highlands, Hendry, and Glades Counties.

b. Petitioning Procedures:

- (1) Any community organization, religious organization or representative group of the low-income community of Polk or Highlands Counties that believes its members to be inadequately represented on the Board may petition for adequate representation as follows:
- (2) The petition must be signed by fifty (50) members of the petitioning group or fifty percent (50%) of the bona fide members of that group or organization. These names shall be residents of the area, at least eighteen (18) years of age, and each person's residential address must be listed adjacent to his/her name.
- (3) Upon receipt of an acceptable petition, the organization or group shall be afforded a timely, informal and open hearing before the Board of Directors in order to have a full and fair opportunity to present their request for action to the Board.
- (4) If a petitioning group is granted a seat on the Board pursuant to such a hearing, that representative shall be properly seated at the next regularly scheduled Board meeting and afforded all rights and privileges of any other voting member of the Board. The membership of the Board will be adjusted and realigned, as necessary, to accommodate the increased membership and to maintain the proper ratio among elected officials; low-income community representatives; and, local business/other representatives.
- (5) A written statement of the Board's action on all petitions shall be submitted to the petitioning group and a copy of that statement shall be sent to the State of Florida, Department of Community Affairs or its duly authorized successor.

Section 2 All Board members will be those persons who subscribed to the purposes of this Corporation and who shall have been elected or appointed to membership in accordance with these Bylaws. The membership of this Corporation shall include representatives of all groups as required by any guidelines or regulations of the federal, state, or local governments or by organizations from the private sector.

Section 3 No member of a Board Member's immediate family shall serve as a Board Member during the same time as that Board Member. Immediate family is defined as follows: Husband, Wife, Mother, Daughter, Son, Father, Father-in-Law, Mother-in Law, Sister, Sister-in-Law, Brother, Brother-in-Law, Grandmother, Grandfather, Aunt, Uncle, Niece, and Nephew.

Section 4 No employee of the agency may serve on the Board of Directors. Former employees must be out of service for at least three (3) years before becoming eligible to serve on the Board of Directors.

Section 5 At the Annual Meeting of the Regional Advisory Councils, those in attendance who have been validated to vote, shall elect a minimum of one low-income represent to serve on the Board of the Directors of the Corporation. Additionally, a minimum of one (1) representative shall be elected by the appropriated regional advisory council to represent the CSBG targeted communities including but not limited to Polk, Highlands, Glades and Hendry Counties. Each elected representative must have been an active member of the Regional Advisory Councils for at least two (2) years preceding her/his terms of office.

Each Board member, elected or appointed, shall serve a two year term on the Corporation's Board of Directors. Elections and appointments shall be made to allow for staggered two-year terms.

- Section 6** The Board of Directors shall have the authority to appoint all members, except for the low-income community representatives who shall be elected by the Regional Advisory Council(s) provided, however, one member will be a representative of the Head Start Policy Council and one (1) member will be a representative of ATEC. The Head Start Policy Council member shall be designated as a low-income community representative and the ATEC Representative shall be designated as a local business/other representative
- The Board of Directors may fill appointed member vacancies at any time; however, in order to fully comply with CSBG requirements, the Board may appoint all necessary members prior to October 1, 2007. Said appointments will include a designation as to the initial length of office for each appointment and identification of each member's representative group.
- Section 7** Members of the Board of Directors may succeed themselves.
- Section 8** The Board may, at its discretion, declare the office of a member of the Board vacant in the event such member shall be absent from three (3) regular Board Meetings unless such Board Member provides written notification to the Secretary of the Board after the second absence and said absence(s) are excused by the Board. Said notification must be submitted no later than seventy-two (72) hours prior to the scheduled Board meeting. If the member is unable to provide the requisite notice, the Chairman of the Board will have the authority to make the determination as to whether the absence is excused. Staff will notify the Board Member by letter of this impending action after the second absence.
- Section 9** Any Board Member may be removed by a two-thirds vote of the Board, for cause, at any regular meeting thereof, provided the Board member is informed of the basis of the complaint against her/him in writing, at least seven days prior to the meeting and is given an opportunity at the meeting to respond to the allegations, prior to the Board's vote. Once removed, a member cannot be appointed or elected to the Board for a period of three (3) years from the date of removal.
- Section 10** In the event of death, resignation or removal of any Board, her/his successor shall be replaced in accordance with these Bylaws and said new member shall then serve for the unexpired term of her/his predecessor.
- Section 11** Committee Chairpersons shall be a Board Member and shall be selected by the Chairperson of the Board. Each committee shall have no less than three (3) members including its Chairperson.
- Section 12** Grace Miller is hereby designated as Board Members Emeritus and shall serve as a non-voting member of the Board of Directors.
- Section 13** Allowances and Reimbursements: No Board Member shall receive any compensation for any service that she/he may render as a Board Member. Members may be reimbursed for her/his actual expenses, including babysitting, travel, etc., incurred in the performance of her/his duties at the option of the Board.

ARTICLE V - MEETING OF THE BOARD

- Section 1** Regular meetings of the Board shall be held not less than four (4) times annually, inclusive of the annual meeting, at such place, date and hours as may be fixed by the Board. Notice of all meetings including committee meetings shall be provided to the public, not less than fifteen (15) days prior to such meeting, through press releases and/or phone calls to the wire services and other media, including local or regional newspapers. Any such notice will contain the time and place of the meeting and, if available, an agenda. If no agenda is available, the notice will include a summation of the subject matter of the meeting. Additionally, the notice will be prominently displayed in the area of the agency's offices set aside for that purpose.
- Section 2** All Board Meetings shall be open to the public unless exempt from Section 286.011, Fla. Stat.
- Section 3** Special or emergency meetings of the Board shall be held when called by the Chairperson of the Board, or by any three (3) Board Members. Notice of all such meetings shall be provided in accordance with Article V, Section 1 of these Bylaws except that said notice will be provided not less than twenty-four (24) hours prior to such meeting.
- Section 4** A quorum of the Board of Directors shall consist of at least one-half plus one of the then seated membership. The vote of a majority of the votes entitled to be cast by the members present at a meeting, at which a quorum is present, is necessary for the adoption of any matter voted on by the members, unless a greater proportion is requirement by law, the Articles of Incorporation or any provision of these Bylaws.
- Section 5** The Board may, from time to time, create Committees which may be standing or ad hoc. The Chairperson of a Committee shall be appointed by the Board Chairperson, with the consent of the Board of Directors. Non-Board members may be selected to serve on Board Committees, but may not serve as chairpersons. No Board member may assign his/her voting responsibilities. Proxy votes of Board members shall not be allowed.
- Section 6** All minutes of Board meetings will be transcribed and provided to the Board of Directors prior to any subsequent Board meeting. Upon request, the minutes shall be made available to the public.
- Section 7** Board members may participate in a meeting of the Board of Directors or any Committee thereof by means of a conference telephone (teleconferencing) or any other communication equipment or device that allows all persons participating in the meeting to hear each other at the same time. Participation by such means shall constitute presence in person at said meeting and shall not be deemed to be "vote by proxy".
- Section 8** All meetings shall be conducted in accordance with the most recent edition of "Roberts' Rules of Order.

ARTICLE VI - BOOKS AND RECORDS

The Articles of Incorporation, Bylaws of the Board, and the books, records, and papers of the Board shall at all times, upon reasonable request, during working hours, be subject to inspection by any member of the Corporation, the public, or any other organization or governmental entity.

ARTICLE VII - OFFICERS AND THEIR DUTIES

- Section 1** The Officers of the Board shall be Chairperson, Vice-Chairperson, Secretary, and Treasurer, and such other officers as the Board may by resolution create.
- Section 2** The election of officers shall take place following the annual meeting of the Corporation, or as soon thereafter as reasonably possible.
- Section 3** The officers of this Board shall be elected every two (2) years by the Board and each shall hold office for two (2) years unless she/he resigns, is removed or is otherwise disqualified to serve. Officers may be elected to succeed themselves. In any event, all officers elected at the corporation annual meeting shall hold office until their successors are elected and qualified.
- Section 4** Any officer may be removed, for cause, by a two-thirds vote of the Board at any regular meeting thereof, provided that written charges against her/him shall first be presented to the Board, and the officer be informed of such charges and be given an opportunity to answer and refute such charges. Any officer may resign, by giving written notice to the Board, the Chairperson or the Secretary. Such resignation shall take effect on the date specified.
- Section 5** A vacancy in any office may be filled by election by a majority of the Board members present at a duly held meeting. The elected officer shall serve for the remainder of the term of the officer she/he replaces.
- Section 6** The duties of the officers are as follows:
- (a) **Chairperson:** The Chairperson shall preside at all meetings of the Board and shall see that orders and resolutions of the Board are carried out. The Chairperson will vote only in case of tie. The Chairperson is authorized to co-sign checks along with the Secretary or Treasurer and shall be bonded for same.
 - (b) **Vice Chairperson:** The Vice Chairperson shall act in the absence of the Chairperson and shall exercise and discharge such other duties as may be required of her/him by the Board.
 - (c) **Secretary:** The Secretary shall be responsible for seeing that the minutes of all meetings and proceedings of the Board, and of the Annual Corporation Meeting are kept; shall have the authority to co-sign with the Chairperson or Treasurer on all checks of the Board, shall be bonded and shall perform such other duties as required by the Board.

- (d) **Treasurer:** The Treasurer shall have the authority to co-sign with the Chairperson or Secretary all checks of the Board. Facsimile signatures shall be authorized in accordance with the Corporation's "Fiscal Management Policies and Procedures Manual." The Treasurer shall be bonded; insure an annual audit of the Board books is made by a public accountant at the completion of each fiscal year and at such other times as requested; and shall assist in an annual budget and a statement of income and expenditures to be presented to those in attendance at the meeting of the Board not less than four (4) times a year and at the Annual Meeting.

Section 7 Code of Ethics – All Board members shall comply with the Corporation's current "Code of Business Conduct" outlined in the most recent copy of the Corporation's "Board Policies and Procedures Manual" as well as the "Code of Conduct" outlined in the most recent copy of ALPI's "Fiscal Management Policies and Procedures Manual". This includes, but is not limited to, acceptance of gifts, payments, etc. At a minimum, each Board member shall sign a copy of the "Code of Business Conduct" prior to Board appointment.

Section 8 Conflict of Interest – In order to assure fair and unbiased business transactions, all Board members shall comply with the "Code of Business Conduct" provision contained in the Board "Policies and Procedures Manual and ALPI "Fiscal Management Policies and Procedures Manual.

ARTICLE VIII

ANNUAL MEETINGS OF THE CORPORATION

Section 1 In January of each year, an Annual Meeting of the Corporation members will be held for the purpose of reporting the Board's activities to the corporate membership; issuing a corporate financial report; installing Board members; and, conducting such other business as may be necessary to fulfill the organization's mission.

Section 2 Notification of the meeting will be provided to interested members of the community residing in the area represented by the Corporation and to the corporate membership with notice of the meetings to be in accordance with Article V of these Bylaws.

Section 3 All Corporation members who have attained their majority, who qualify under Article III of the Articles of Incorporation of this organization, and who have been members at least ninety (90) days, who are in attendance at the meeting, shall be entitled to vote on the business affairs of the Corporation as specified in the Articles of Incorporation and the Bylaws.

ARTICLE IX - EXECUTIVE COMMITTEE

Section 1 The Executive Committee shall consist of the Chairperson, Vice-Chairperson, Treasurer, Secretary and two (2) Board members that are recommended by the Chairperson and who are approved by the Board.

Section 2 The Executive Committee will be responsible for conducting the business of the Board when the Board is not in session and shall meet on a regular basis to facilitate and transact the business of the organization provided all such meetings shall comply with the notice

requirements of Article V of these Bylaws.

- Section 3** The Executive Committee shall not have the non-emergency authority to:
- a. remove an officer or director;
 - b. dispose of corporate assets valued in excess of \$100,000;
 - c. approve the corporate annual budget; or
 - d. remove, hire or discipline the Chief Executive Officer.

ARTICLE X - REGIONAL ADVISORY COUNCIL

Section 1 The Corporation membership shall be divided into four (4) regions: Southern, Eastern, Central, and Northern, with each region having a Regional Advisory Council. The regions shall be designated by the Board of Directors.

Section 2 Regional Advisory Councils shall serve in an advisory capacity to the Board of Directors.

Section 3 The Regional Advisory Council shall have a membership of not less than nine (9) nor more than twenty-four (24).

Section 4 No employee of the agency may serve on any Regional Advisory Council. Former employees must be out of service for at least one (1) year before becoming eligible to serve on any Regional Advisory Council.

Section 5 No member of a Council Member's immediate family shall serve as a Council Member of the same Regional Advisory Council during the same time as that Council Member. Immediate family is defined as follows: Husband, Wife, Mother, Daughter, Son, Father, Father-in-Law, Mother-in Law, Sister, Sister-in-Law, Brother, Brother-in-Law, Grandmother, Grandfather, Aunt, Uncle, Niece, and Nephew.

Section 6 There shall be an annual meeting of the corporate membership in each of the four (4) previously identified regions. Said meeting will be held each year before the end of November. At each annual Regional Advisory Council meeting up to eight (8) persons shall be elected for three year terms. It is the intent of this provision to continue to provide for staggered three year terms with a total up to twenty-four (24) members for each Regional Advisory Council. Those in attendance and who are entitled to vote shall elect eligible members to fill all vacant/new positions. All members shall be democratically elected as specified in the bylaws and the Board of Directors approved Regional Geographic Target Areas.

Once sworn-in as Regional Advisory Council members, they shall immediately elect their officers and their representatives to the Board of Directors. All Regional Advisory Council members elected to the Board of Directors shall be representatives of the low-income geographic target areas of said region. Regional Advisory Council officers may be elected as a low-income community representative if appropriate.

Section 7 If requested by the Board of Directors, the Regional Advisory Council shall recommend elected officials and local business/other representatives for consideration for appointment to the voting membership of the Board. The Board of Directors shall have the sole responsibility for making appointments of elected officials and local business/other representatives,

Section 8 All other designated subsidiaries and affiliates of ALPI shall fully comply with and adhere to these Bylaws as well as all applicable Policies and Procedures.

ARTICLE XI RETIREMENT COMMITTEE

- Section 1** The Retirement Committee shall serve as the Retirement Plan Administrator of the organization's retirement plan.
- Section 2** The Retirement Committee shall consist of the Executive Committee of the Board of Directors.
- Section 3** Except as to those functions specifically reserved within the Retirement Plan to the Board of Directors and ALPI, the Retirement Committee shall control and manage the operation and administration of the Retirement Plan.
- Section 4** A majority of the members of the committee at the time in office shall constitute a quorum for the transaction of business at any meeting. Notice of all meetings shall be given in accordance with Article V of these Bylaws. Any determination or action of the committee may be made or taken by a majority of the members present at any meeting thereof, or without a meeting by a resolution or written memorandum concurred in by a majority of the members then in office. No member who is a participant of this plan, however, shall vote on any question relating solely to himself.
- Section 5** The Retirement Committee, subject to the limitations contained in the Retirement Plan and to such other restrictions as the Board of Directors may make, shall have the power and the duty to carry out the provisions of the Retirement Committee as to any question involving the general administration and interpretation of the Plan shall be final, conclusive and binding. Any discretionary actions to be taken by the committee by respect to the classification of the employees, participants, beneficiaries, contributions, or benefits shall be uniform in their nature and applicable to all persons similarly situated.
- Section 6** The Retirement Committee may employ counsel, a qualified public accountant, a qualified actuary, a consultant and such clerical, medical and other accounting services as it may require in carrying out the provisions of the Plan or in complying with requirements imposed by ERISA and the Internal Revenue Code.

ARTICLE XII – DISSOLUTION OF CORPORATION

Upon the liquidation, dissolution, or winding up of the corporation, whether voluntarily or involuntarily, the assets of the Corporation shall be distributed in the following manner:

- (A) All debts and liabilities of the Corporation shall be paid based on the availability of funds.
- (B) Property purchased with contractual funds will be disposed or in compliance with contractual guidelines.
- (C) If assets remain, any audited fund balances due to any governmental agency shall be returned to said agency or agencies.
- (D) Any and all assets remaining shall be distributed to those charitable, scientific, religious, and educational organizations qualifying as a tax-exempt organization in accordance with the Internal Revenue Code and as determined eligible by the Board of Directors.
- (E) No assets of the Corporation shall inure to the benefit of any officer, director, or individual of the Corporation upon dissolution.

ARTICLE XIII - AMENDMENTS

Section 1 These Bylaws may be amended by the Board of Directors at any regular meeting of the organization, after having given at least 21 days written notice of the proposed change to the Board of Directors.

Section 2 Nothing contained in these Bylaws shall be in conflict with the Articles of Incorporation.

These Bylaws were amended
By the Board of Directors at
its' June 27, 2015 meeting

The Agricultural and Labor Program
Member of the Board of Directors
Job Description and Expectations

Purpose: To advise, govern, oversee policy and direction, and assist with the leadership and general promotion of The Agricultural and Labor Program, Inc. to support the organization's mission and needs.

Mission statement: The Agricultural and Labor Program, Inc.'s mission is to propose, implement and advocate developmental human service delivery programs for the socially and economically disadvantaged, children and families, and farm workers.

***Major responsibilities:**

- Organizational leadership and advisement
- Organization of the board of directors, officers, and committees
- Formulation and oversight of policies and procedures
- Financial management, including adoption and oversight of the annual budget
- Oversight of program planning and evaluation
- Personnel evaluation and hiring of the CEO.
- Review of organizational and programmatic reports
- Promotion of the organization
- Fundraising and outreach
- Regularly attends board meetings and important related meetings.
- Makes serious commitment to participate actively in committee work.
- Volunteers for and willingly accepts assignments and completes them thoroughly and on time.
- Stays informed about committee matters, prepares themselves well for meetings, and reviews and comments on minutes and reports.
- Gets to know other committee members and builds a collegial working relationship that contributes to consensus.
- Is an active participant in the committee's annual evaluation and planning efforts.
- Participates in fund raising for the organization.

**Members of the board share these responsibilities while acting in the interest of The Agricultural and Labor Program, Inc. Each member is expected to make recommendations based on his or her experience and vantage point in the community.*

Length of term: Two years term, which may be renewed, pending approval via the board election process.

Meetings and time commitment:

- The board of directors meets bi-monthly during the months of April, June, September, November and January on the fourth Saturday of the month at 10:00 a.m. in designation service areas as determine by the board. Meetings typically last 90 minutes.
- Committees of the board meet an average of four times per year, pending their respective work agenda.

- Board members are asked to attend no less than two meetings and all special events per year, as they are determined.

Expectations of board members:

- Attend and participate in meetings on a regular basis, and special events as able.
- Participate on a standing committee of the board, and serve on ad-hoc committees as necessary.
- Be alert to community concerns that can be addressed by the organization's mission, objectives, and programs.
- Help communicate and promote the organization's mission and programs to the community.
- Become familiar with the organization's finances, budget, and financial/resource needs.
- Understand the policies and procedures of the organization.
- Financially support the organization in a manner commensurate with one's ability.

Sample Job Descriptions for Board Officers and Committee Chairs

Board Chair Job Description

The following description was adapted from materials from BoardSource. Note that materials apply to both for-profit and nonprofit unless otherwise noted.

1. Is a member of the Board.
2. Serves as the Chief Volunteer of the organization
3. Is a partner with the Chief Executive in achieving the organization's mission.
4. Provides leadership to the Board of Directors, who sets policy and to whom the Chief Executive is accountable.
5. Chairs meetings of the Board after developing the agenda with the Chief Executive.
6. Encourages Board's role in strategic planning
7. Appoints the chairpersons of committees, in consultation with other Board members.
8. Serves ex officio as a member of committees and attends their meetings when invited.
9. Discusses issues confronting the organization with the Chief Executive.
10. Helps guide and mediate Board actions with respect to organizational priorities and governance concerns.
11. Reviews with the Chief Executive any issues of concern to the Board.
12. Monitors financial planning and financial reports.
13. Plays a leading role in fundraising activities
14. Formally evaluates the performance of the Chief Executive and informally evaluates the effectiveness of the Board members.
15. Evaluates annually the performance of the organization in achieving its mission.
16. Performs other responsibilities assigned by the Board.

Vice Chair Job Description

The following description was adapted from materials from BoardSource. Note that materials apply to both for-profit and nonprofit unless otherwise noted. This position is typically successor to the Chair position. In addition to the responsibilities outlined in the Committee Member job description, this position:

1. Is a member of the Board
2. Performs Chair responsibilities when the Chair cannot be available (see Chair Job Description)
3. Reports to the Board's Chair
4. Works closely with the Chair and other staff
5. Participates closely with the Chair to develop and implement officer transition plans.
6. Performs other responsibilities as assigned by the Board.

Board Secretary Job Description

The following description was adapted from materials from the National Center for Nonprofit Boards. Note that materials apply to both for-profit and nonprofit unless otherwise noted.

1. Is a member of the Board
2. Maintains records of the board and ensures effective management of organization's records
3. Manages minutes of board meetings
4. Ensures minutes are distributed to members shortly after each meeting
5. Is sufficiently familiar with legal documents (articles, by-laws, IRS letters, etc.) to note applicability during meetings

Board Treasurer Job Description

The following description was adapted from materials from the National Center for Nonprofit Boards. Note that materials apply to both for-profit and nonprofit unless otherwise noted.

1. Is a member of the Board
2. Manages finances of the organization
3. Administrates fiscal matters of the organization
4. Provides annual budget to the board for members' approval
5. Ensures development and board review of financial policies and procedures

Sample Job Descriptions for Board Committee Chairs

Committee Chair Job Description

The following description was adapted from materials from BoardSource. Note that materials apply to both for-profit and nonprofit unless otherwise noted.

1. Is a member of the Board
2. Sets tone for the committee work.
3. Ensures that members have the information needed to do their jobs.
4. Oversees the logistics of committee's operations.
5. Reports to the Board's Chair.
6. Reports to the full Board on committee's decisions/recommendations.
7. Works closely with the Chief Executive and other staff as agreed to by the Chief Executive.
8. Assigns work to the committee members, sets the agenda and runs the meetings, and ensures distribution of meeting minutes.
9. Initiates and leads the committee's annual evaluation.

2017

Proposed Board Standing Committees

BYLAWS	FINANCE
Lester Roberts, Chair Katie Clarke Dorothy Curry Ruby Willix Gena Spivey PaHoua Lee-Yang, Staff Liaison Standard Meeting Day & Time: Friday @ 7:00 p.m.	Marjorie Gaskin, Chair Lester Roberts David Walker Josephine Howard Vernon McQueen Stacy Campbell-Domineck Dennis Gniewek, Staff Liaison Standard Meeting Day & Time: Saturday @ 9:00 a.m.
PROGRAM PLANNING	MEMBERSHIP
Vernon McQueen, Chair Chester McNorton Samuel Thomas Corey Williams Annie Robinson Al Miller, Staff Liaison Myrna Rodriguez, Staff Liaison Aletta Stroder, Staff Liaison Standard Meeting Day & Time: Friday @ 7:00 p.m.	Patricia Gamble, Chair Dorothy Curry LaVita Holmes Ruby Willix Terry Wellington Cheryl Burnham, Staff Liaison Standard Meeting Day & Time: Saturday @ 9:00 a.m.
SPECIAL EVENTS	GOVERNMENT AFFAIRS
Marva Hawkins, Chair Patricia Gamble, Co-Chair Glenda Jones Kimberly Ross Chester McNorton Elizabeth Young, Staff Liaison Standard Meeting Day & Time: Friday @ 7:00 p.m.	Josephine Howard, Chair Glenda Jones Kim Johnson Chester McNorton Constance Griffin Christine Samuel, Staff Liaison Standard Meeting Day & Time: Saturday @ 8:00 a.m.

EXECUTIVE COMMITTEE

William Holt, Chairperson
 David Walker, Vice Chairperson
 Josephine Howard, Secretary
 Marjorie Gaskin, Treasurer
 Marva Hawkins
 Katie Clarke
 Standard Meeting Day & Time: Friday @ 8:00 p.m.



AD HOC COMMITTEES

SUCCESSION PLANNING COMMITTEE

Josephine Howard, Chair	Lester Roberts
Patricia Gamble	Marva Hawkins
Marjorie Gaskin	

FUNDRAISING/RESOURCE DEV.

Patricia Gamble	Vernon McQueen
Marva Hawkins	Marjorie Gaskin
David Walker	

Note: Standing Committees' Meetings will follow Board Meeting Calendar unless otherwise noted. Ad Hoc Committees will meet as needed.

The Agricultural and Labor Program, Inc.
2017 Board of Directors
Attendance Y-T-D Summary

Name	Feb Orientation	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan 2018 Board closeout
Katie Clarke												
Dorothy Curry												
Stacy Campbell-Domineck												
Patricia Gamble												
Marjorie Gaskin												
Marva Hawkins												
LaVita Holmes												
William Holt												
Josephine Howard												
Kim Johnson												
Glenda Jones												
Chester McNorton												
Vernon McQueen												
Lester Roberts												
Annie Robinson												
Kimberly Ross												
Samuel Thomas												
David Walker												
Corey Williams												
Ruby Willix												
Grace Miller Board Emeritus (non-voting)												
TOTAL PRESENT												

P = Present

E= Excused

A= Absent



= No Meeting Held

**THE AGRICULTURAL AND LABOR PROGRAM, INC.
2017 SHARED GOVERNANCE ORIENTATION & BOARD MEETING
FEBRUARY 25, 2017
SIGN-IN SHEET**

Sector: Public

NAME	ADDRESS	TELEPHONE	SIGNATURE
Josephine Howard, Board Secretary Commissioner Roy Tyler - City of Haines City Citizen Designee (Polk County)	2711 Orchid Drive Haines City, FL 33844 jolizhow13@yahoo.com	H: (863) 422-0875 C: (863) 221-2644	
Dorothy Curry Commissioner Velma Williams – City of Sanford Citizen Designee (Seminole County)	2203 W. 13 th Street Sanford, FL 32771 N/A	H: (407)323-2099 C: N/A	
Commissioner Kim Johnson St. Lucie Board of County Commissioner (St. Lucie County)	4888 Kings Hwy Fort Pierce, FL 34951 johnsonkim@stlucieco.org	H: O: C: (321) 662-6536 H: O:	
Marjorie Gaskin, Treasurer Commissioner Rufus Alexander - City of Ft. Pierce Citizen Designee (St. Lucie County)	1511 N. 21 st Street Ft. Pierce, FL 34950	H: (772) 464-0243 C: (772) 475-3194	
Lester Roberts Deputy Mayor Brenda Giles – City of Avon Park Citizen Designee (Highlands County)	1002 S. Waldron Avenue Avon Park, FL 33825 lesterarob06@yahoo.com	C: (863) 257-4164	
Kimberly Ross Commissioner Janet Taylor –Hendry BoCC Citizen Designee (Hendry County)	P. O. Box 1214 Clewiston, FL 33440 rosskimline@netzero.com	H: O: C: (863) 233-6500	
Samuel Thomas City of Moore Haven Citizen Designee (Glades County)	P. O. Box 518 Moore Haven, fl 33471 Anthonythomas2k2@gmail.com	H: (239) 738-0827 O: C: (863) 983-1530	

**THE AGRICULTURAL AND LABOR PROGRAM, INC.
2017 SHARED GOVERNANCE ORIENTATION & BOARD MEETING
FEBRUARY 25, 2017
SIGN-IN SHEET**

Sector: Private

NAME	ADDRESS	TELEPHONE	SIGNATURE
Patricia Gamble CGWT Outreach Resource Center Member (Polk County)	1020 Anderson Avenue Lakeland, FL 33805 gambpt@aol.com	H: (863)603-8852 O: (863) 284-4245 C: (863) 838-5111	
Vernon McQueen Duke Energy Florida Program Manager (Seminole County)	804 E. 14 th Street Sanford, FL 32771 vmcqueen@hotmail.com	H: (407) 321-6950 O: (407) 942-9661 C: (321) 262-6564	
Katie Clarke Lakeview Park Homeowner Association President (Polk County)	37 Banneker Lane Frostproof, FL 33843 N/A	H: (863) 635-4928 O: N/A C: (863) 605-1330	
Glenda Jones Winter Haven Neighborhood Service Center Executive Director (Polk County)	608 Avenue S, NE Winter Haven, FL 33881 nsc1glenda@netscape.net	H: (863) 294-5860 O: (863) 294-5860 C: N/A	
Stacy Campbell-Domineck CareerSource Polk Chief Executive Officer (Polk County)	600 N. Broadway, Suite B Bartow, FL 33830 stacy.campbell-domineck@careersourcepolk.com	H: (863) 899-6597 O: (863) 508-1600 C:	
David Walker, Board Vice-Chairperson Law Office of David Walker, PA Attorney (Martin County)	10 SE Central Parkway, Ste 225 Stuart, FL 34994 davidwalkerlaw@aol.com	H: (772) 286-1469 O: (772) 286-8686 C: (772) 708-6632	
Chester McNorton ATEC Advisory Council Member (Volusia County)	644 Magnolia Avenue Daytona Beach, FL 32114 chestermcnorton@yahoo.com	H: N/A O: (386) 740-3242 C: (386) 341-7586	

**THE AGRICULTURAL AND LABOR PROGRAM, INC.
2017 SHARED GOVERNANCE ORIENTATION & BOARD MEETING
FEBRUARY 25, 2017
SIGN-IN SHEET**

Sector: Low Income

NAME	ADDRESS	TELEPHONE	SIGNATURE
William Holt – Board Chairperson Eastern Region Advisory Council Chairperson (Indian River County)	4129 57 th Avenue Vero Beach, FL 32967 1946holt@gmail.com	H: (772) 562-8377 O: N/A C: (772) 538-4280	SIGNATURE
Annie Robinson Southern Region Advisory Council Member (Polk County)	748 Hunt Street Lake Wales, FL 33853 mstrobl@yahoo.com	H: (863) 676-4008 O: (863) 285-8210 C: (863) 232-8899	
VACANT (Glades County)			
Marva Hawkins Northern Region Advisory Council Member (Seminole County)	1004 W. 13 th Street Sanford, FL 32772 marvahawkins@earthlink.net	H: (407) 322-5418 O: N/A C: (407) 416-4234	
Corey Williams Head Start Policy Council Member (St. Lucie County)	7700 Pine Lakes Blvd #7495 Port St. Lucie, FL 34953 willmscorey@yahoo.com	H: (772) 467-4500 O: C: (954) 607-9471	
Ruby Willix Central Region Advisory Council Member (Polk County)	2876 Dudley Drive Bartow, FL 33830 rubywillix@comcast.net	H: (863) 537-6677 O: N/A C: (863) 207-1822	
LaVita Holmes Southern Region Advisory Council Member (Hendry County)	901 Florida Avenue Clewiston, FL 33440 kwikrelease863@gmail.com	H: (863) 288-2076 O: (863) 983-9900 C: N/A	



**BOARD OF DIRECTORS' MEETING
HOLIDAY INN EXPRESS & SUITES
CLEWISTON, FL
JUNE 25, 2016**

- I. **CALL TO ORDER:** The meeting was called to order at 10:00 a.m. by Vice-Chairperson David Walker.
- **MISSION STATEMENT:** Recited in unison
The mission of The ALPI is to propose, implement, and advocate developmental and human service delivery programs for the socially and economically disadvantaged; children and families; and farmworkers.
 - **MOMENT OF SILENCE:** Observed by all
 - **ROLL CALL: Members Present:** Patricia Brown, Katie Clarke, Mercedes Estime-Connelly, Dorothy Curry, Stacy Campbell-Domineck, Marjorie Gaskin, Marva Hawkins, LaVita Holmes, Josephine Howard, Kim Johnson, Glenda Jones, Vernon McQueen, Lester Roberts, Kimberly Ross, David Walker and Ruby Willix.
Member Absent: Annessa Chilous.
Members Excused: William Holt, Chester McNorton, Patricia Gamble, and Annie Robinson.
Quorum: Attendance meets quorum with sixteen (16) voting members present.
- Note:** Patricia Brown asked to be excused from the Committee Meeting last evening. She is present for the Board Meeting today.
- Chief Executive Officer Present:** Doris Johnson
Board Attorney Present: Jonathan Tule
- Others Present:**
Department Director: Cheryl Burnham, LIHEAP; PaHoua Lee-Yang, CSBG; Al Miller, C&E Deputy Director; Christine Samuel, Human Resources; Myrna Rodriguez, Program Operations (St. Lucie); Dennis Gniewek, Budget & Finance; and Twila Smith, Operations & Quality Control
Absent: Elizabeth Young and Aletta Stroder.
- II. **PUBLIC COMMENTS:** None
- III. **CONSENT AGENDA:** Lester Roberts moved to accept the Consent Agenda as presented; seconded by Josephine Howard. Motion carried.
- IV. **SECRETARY'S REPORT:** Josephine Howard reporting:
- **Draft minutes** (April 23, 2016)
 - **Correspondence:** Additional correspondence received from four (4) Board members requesting to be excused from Committee and/or Board of Directors' Meetings: William Holt, Chester McNorton, Annie Robinson and Patricia Gamble.
- Josephine Howard moved to accept the Secretary's Report as presented; seconded by Stacy Campbell-Domineck. Motion carried.
- V. **TREASURER'S REPORT:** Marjorie Gaskin reporting:
Marjorie Gaskin moved to accept the Treasurer's Report for informational purposes only; seconded; by Marva Hawkins. Motion carried.

VI. ACTION ITEMS:

➤ Committee Reports

- **Membership Committee:** No scheduled meeting.
- **Program Planning** – Vernon McQueen reporting:
Vernon McQueen moved for Board approval of the following items; seconded by Kim Ross.
Motion carried.

- ✓ 2016-2017 School Readiness Provider Contract/Polk County (ratify)
- ✓ 2016-2017 School Readiness Provider Contract St. Lucie County (ratify)
- ✓ DEO Modification Agreement – CSBG (ratify)
- ✓ DOE Emergency Assistance Modification
- ✓ 2016-2017 Emergency Solutions Partnerships Grant (ratify)
- ✓ 2016-2021 St. Lucie County School Board (SLC SB) Lease Agreement
- ✓ USAC E-rate Funding 2016-2017 (ratify)

- **Budget & Finance Committee:** David Walker reporting:
David Walker moved for Board approval of the following items; seconded by Vernon McQueen.
Motion carried.

- ✓ 2016-2017 SLCSB Collaborative Agreement
- ✓ 2016 HS/EHS Cola Application (ratify)
- ✓ 2016 Employee Health Benefit Options

Note: There will be a conference call held with the Budget & Finance Committee for the review and approval of the 2016/2017 Operating Budget. Information will be placed on the portal for all. Vernon McQueen moved to approve the meeting; seconded by Josephine Howard. Motion carried.

- **Special Events Committee:** Marjorie Hawkins reporting:
Marjorie Gaskin moved to approve the following items; seconded by Josephine Howard.
Motion carried.

- ✓ Submission of nominees for Community Service Awards by September 5, 2016.
- ✓ Board Retreat dates for November 18-20, 2016; location Doubletree Orlando
- ✓ ALPI Annual Meeting January 19-21, 2017; Rosen Centre Orlando

- **Government Affairs Committee:** Josephine Howard reporting:
Josephine Howard moved for the Board to approve the following items; seconded by Kim Johnson.
Motion carried.

- ✓ Voter registration drives will be conducted by the Supervisor of Elections in each region at the ALPI Energy Fairs with assistance from advisory council members.
- ✓ ALPI may participate with political forums as long as they are non-partisan organizations or individuals, filter through Attorney Thiele
- ✓ Board approved to continue Government Affairs 2016 Action Plan with various timelines which are in place.

- **Bylaws Committee:** No scheduled meeting.

➤ Councils' Reports

- **Central Region Advisory Council:** Report in Board Packet.
- **Northern Region Advisory Council:** No meeting held.
- **Southern Region Advisory Council:** Report in Board Packet.
- **Eastern Region Advisory Council:** Report in Board Packet.
Submitted check for \$63.00 for Arie Lou Perkins Scholarship Fund.
- **Policy Council:** Report in Board Packet.

VII. OTHER BUSINESS

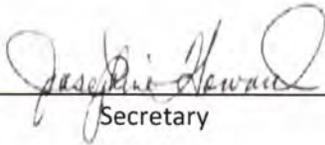
➤ **Board In-Service Orientation for new computers**

At 10:57 a.m. CEO Deloris Johnson turned the meeting over to Maria Crespo, IT Specialist to introduce the Board members to the new computers and get familiar with navigating the computer and access to the Board Portal.

At 11:35 a.m. Vice-Chairperson David Walker reconvened the meeting and in turn thanked Maria Crespo for an excellent introduction to the computers.

VIII. ADJOURNMENT

Stacy Campbell-Domineck moved for adjournment; seconded by Marjorie Gaskin. Motion carried.

Recorder: 
Secretary

June 25, 2016
Date

SAMPLE



The Agricultural and Labor Program, Inc.

P.O. Box 3126
Winter Haven, FL 33885

Board of Directors Membership Application

Name:		Home Phone:	
Mailing Address:		Occupation:	
City, Zip Code:		Business Phone:	
Employer:		Email:	

Please check the education or skills you are willing to contribute to this Board

<input type="checkbox"/>	Accounting	<input type="checkbox"/>	Management	<input type="checkbox"/>	Public Relations
<input type="checkbox"/>	Investment	<input type="checkbox"/>	Marketing	<input type="checkbox"/>	Knowledge of services
<input type="checkbox"/>	Fundraising	<input type="checkbox"/>	Education	<input type="checkbox"/>	Public Speaking
<input type="checkbox"/>	Community Relations	<input type="checkbox"/>	Planning	<input type="checkbox"/>	Lobbying
<input type="checkbox"/>	other (please specify below)				

Can you regularly attend Bi-monthly Meetings? Yes No Conflicts _____

Will you be willing to make a financial commitment to this nonprofit? Yes No

Why are you interested in this nonprofit Agency?

Please explain your understanding of ALPI's Mission.

Please explain your understanding of your role as a board member.

Briefly describe your Professional Affiliation (s):

List Other Boards' Membership (s):

Board		Term		Office	
Board		Term		Office	

Signature _____

Date _____

THE AGRICULTURAL and
LABOR PROGRAM, INC.

Cost Allocation Plan

Use the following model Cost Allocation Plan (CAP) as guidance for Non-profit organizations. The CAP should be tailored to fit the specific policies of each organization. If your organization's policies are different in any of the categories, please specifically identify the methodology used. Although there are different methodologies available for allocating costs, the methodology used should result in an equitable distribution of costs to programs. Recipients must have a system in place to equitably charge costs. Additionally, as required by Office of Management and Budget Circular A-122, time distribution records must reflect an after-the-fact determination of the actual activity of each employee. Considerations in determining an appropriate base for allocating costs include the relative benefits received, the materiality of the cost, and the amount of time and cost to perform the allocation.

THE AGRICULTURAL AND LABOR PROGRAM, INC.

COST ALLOCATION PLAN

Purpose/General Statements

The purpose of this cost allocation plan is to summarize, in writing, the methods and procedures that this organization will use to allocate costs to various programs, grants, contracts and agreements.

OMB Circular A-122, "Cost Principles for Non-Profit Organizations," establishes the principles for determining costs of grants, contracts and other agreements with the Federal Government. *The Agricultural and Labor Program, Inc.'s* Cost Allocation Plan is based on the Direct Allocation method described in OMB Circular A-122. The Direct Allocation Method treats all costs as direct costs except general administration and general expenses.

Direct costs are those that can be identified specifically with a particular final cost objective. Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective.

Only costs that are allowable, in accordance with the cost principles, will be allocated to benefiting programs by The Agricultural and Labor Program, Inc.

General Approach

The general approach of *The Agricultural and Labor Program, Inc.* in allocating costs to particular grants and contracts is as follows:

- A. All allowable direct costs are charged directly to programs, grants, activity, etc.
- B. Allowable direct costs that can be identified to more than one program are prorated individually as direct costs using a base most appropriate to the particular cost being prorated.
- C. All other allowable general and administrative costs (costs that benefit all programs and cannot be identified to a specific program) are allocated to programs, grants, etc. using a base that results in an equitable distribution.

ALLOCATION OF COSTS

The following information summarizes the procedures that will be used by *The Agricultural and Labor Program, Inc.* beginning July/01/2006; revised 11/08/2012:

- A. **Compensation for Personnel Services** - Documented with timesheets showing time distribution for all employees and allocated based on time spent on each program or grant. Salaries and wages are charged directly to the program for which work has been done. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's salaries to the total of such salaries (see Example 1).
 1. Fringe benefits (FICA, UC, and Worker's Compensation) are allocated in the same manner as salaries and wages. Health insurance, dental insurance, life & disability and other fringe benefits are also allocated in the same manner as salaries and wages.
 2. Vacation, holiday, and sick pay are allocated in the same manner as salaries and wages.
- B. **Travel Costs** - Allocated based on purpose of travel. All travel costs (local and out-of-town) are charged directly to the program for which the travel was incurred. Travel costs that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees or number of children when applicable, to the total of such cost (see Example 1).
- C. **Professional Services Costs** (such as consultants, accounting and auditing services) Allocated to the program benefiting from the service. All professional service costs are charged directly to the program for which the service was incurred. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees to the total of such number of employees (see Example 3).
- D. **Office Expense and Supplies** (including office supplies and postage) Allocated based on usage. Expenses used for a specific program will be charged directly to that program. Postage expenses are charged directly to programs to the extent possible. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees to the total of such number of employees (see Example 3).
- E. **Equipment** - *The Agricultural and Labor Program, Inc.* depreciates equipment when the initial acquisition cost exceeds \$1,000. Items below \$1,000 are reflected in the supplies category and expensed in the current year. Unless allowed by the awarding agency, equipment purchases are recovered through depreciation. Depreciation costs for allowable equipment used solely by one program are charged directly to the program using the equipment. If more than one program uses the equipment, then an allocation of the depreciation costs will be based on the ratio of each program's funds used to purchase the equipment to the total of such costs. (see example 3).

- F. **Printing (including supplies, maintenance and repair)** - Expenses are charged directly to programs that benefit from the service. Expenses that benefit more than one program are allocated based the ratio of the costs to total expenses. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees or number of children when applicable, to the total of such number of employees or number of children when applicable (see example 3).
- G. **Insurance** - Insurance needed for a particular program is charged directly to the program requiring the coverage.

General Liability Insurance is directly charged to a program based on the square footage of the property used by that program. Space used by more than one program is allocated to each program using the space based on the program allocation of the employees using that space (see example 3).

Property Insurance is directly charged to a program based on the insured value of the property used by that program. The value property used by more than one program is allocated to each program using the property based on the program allocation of the employees using that property.

Automobile Insurance is directly charged to the program using the vehicle. Any vehicle used by more than one program is allocated to the program based on the percentage of use to the program.

Child Accident Insurance is charged directly to the child development programs based on the number of children in each program.

- H. **Telephone/Communications** - Long distance and local calls are charged to programs if readily identifiable. Other telephone or communications expenses that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees to the total such number of employees (see example 3).
- I. **Facilities Expenses** - Expenses are charged directly to the program using that facility. Facilities used by more than one program are allocated by the ratio of the number of employees using that facility to the total of such number of employees.
- J. **Training/Conferences/Seminars** – Allocated to the program benefiting from the training, conferences or seminars. Costs that benefit more than one program will be allocated to those programs based on the ratio of each program's number of employees to the total of such number of employees (see example 1).
- K. **Other Costs (including dues, licenses, fees, etc.)** - Other joint costs will be allocated on a basis determined to be appropriate to the particular costs.

Examples of Allocation Methodology

Example 1

Expense Amount = \$5,000

Costs that benefit two or more specific programs are allocated to those programs based on the ratio of each program's personnel costs (salaries & applicable benefits) to the total of such personnel costs, as follows:

Agency wide allocation other prof serv, office supplies etc	TOTAL	HS	EHS	EHS	EHS	CC	CSBG			LIHEAP		DOE	Total	
	EMPLOYEES		Polk	StLucie	Polk	Food Admin	Admin	Prog	Admin	Ops.	E&T	Indirect		
Element Numbers	250014	341014	340014	341014	100013	365113	365013	501114	501014	507014	999507			
ADMINISTRATION														
CEO	1												1	1
FD	1												1	1
QC	1												1	1
HR	1												1	1
EXECUTIVE SUPPORT	1												1	1
FINANCE SUPPORT	1												1	1
HR SUPPORT	2												2	2
CHILD DEV /FAMILY SERV Division														
HS/EHS PROG OPS MANAGEMENT	18	8	2.96	1.66	5.38	0								18
HS/EHS PROG OP SERV DELIVERY	171	129.57	7.71	12.75	14.39	6.58								171.00
G F S S DIVISION	9	5.58	0.42	0.56	1.1	0.84							0.5	9
COM SERV / ECON DEV DIVISION														
DIVISION POSITIONS	2						0.10	0.15	1.05	0.50	0.00	0.20	2.00	
CSBG/ECON DEVELOPMENT DEPT	8						0.20	5.25	0.25	0.25	2.05	0.00	8.00	
LIHEAP/COMMUNITY SERV DEPT	13						0.05	0.00	2.35	10.60	0.00	0.00	13.00	
OTHER SUPPORT	4						0.20	0.00	1.80	0.00	0.00	2.00	4.00	
TOTAL ALLOCATED	233	143.15	11.09	14.97	20.87	7.42	0.95	5.4	5.45	11.35	2.05	10.7	233	
FUNDING														
		0.6144	0.0416	0.0642	0.0896	0.0318	0.0024	0.0232	0.0234	0.0487	0.0088	0.0459	1.0000	
INVOICE AMOUNT	\$ 5,000.00	3,071.89	237.98	321.24	447.85	159.23	11.80	115.88	116.95	243.56	43.99	229.61	5000.0000	

Example 2

Expense Amount = \$10,000

Costs that benefit all programs are allocated based on a ratio of each program's number of children when applicable to total costs as follows:

ALLOCATION FOR HS/VPK FOR CENTERS EXCEPT GWT						
HS Facilities	350613	Children	691 x	6 hours	4146	76%
VPK	430013	Children	430 x	3 hours	1290	24%
					5436	
ALLOCATION FOR HS/VPK/EHS ADMIN OFFICE						
HS Facilities	350613	Children	691 x	6 hours	4146	70%
VPK	430013	Children	430 x	3 hours	1290	22%
EHS Edu, Health	340013	Children	80 x	6 hours	480	8%
					5916	
ALLOCATION FOR HS/EHS/VPK FOR GWT ONLY						
HS Facilities	350613	Children	50 x	6 hours	300	45%
VPK	430013	Children	25 x	3 hours	75	11%
EHS Edu, Health	340013	Children	48 x	6 hours	288	44%
					663	

Example 3

General Liability Insurance = \$10,000

General Liability Insurance costs are allocated based on square footage. Square footage for each program and general and administrative activity is considered in the analysis. General and administrative facilities costs are further allocated to each program based on the square footage of each grant program to the total square footage of all grant programs. The calculation is as follows:

Grant	Square Footage	%	Amount Allocated	G&A Allocated	Total Amount Allocated
A	300	30%	\$ 3,000	\$ 340	\$ 3,340
B	100	10%	\$ 1,000	\$ 110	\$ 1,110
C	200	20%	\$ 2,000	\$ 220	\$ 2,220
D	200	20%	\$ 2,000	\$ 220	\$ 2,220
E	100	10%	\$ 1,000	\$ 110	\$ 1,110
G&A	100	10%	\$ 1,000	0	0
Total	1,000	100%	\$10,000	\$1,000	\$10,000

**THE AGRICULTURAL AND LABOR PROGRAM, INC.
ELECTION PROCEDURES
FOR
BOARD OF DIRECTORS' OFFICERS**

The election of the following officers will be governed by the Articles of Incorporation Charter and Bylaws of The Agricultural and Labor Program, Inc., **Articles IV, VII, and IX.**

**Chairperson
Vice Chairperson
Secretary
Treasurer**

Voting and Eligibility Criteria

1. An appointed non-board member will call the roll to validate the number of board members present and to determine the maximum number of votes to be expected after all votes are tallied for each office.
2. All board members present and accounted for will be eligible to vote for one (1) nominee in each officer category.
3. All votes will be by personal ballot and collected and tallied by a non-board member after each vote for each officer category.
4. Officers must win by a majority (50% plus) vote. If no candidate receives a majority vote upon the first ballot, the two (2) candidates with the highest number of votes shall have a run-off second ballot. If there is a tie following the first vote, making it impossible to determine two (2) candidates for a run-off, the Nominating Committee Chairperson shall have the authority to implement such voting procedures in order to produce two (2) candidates for a run-off and otherwise facilitate the intent of this provision in requiring election outcomes by majority vote.
5. Nothing stated herein shall be construed to preclude anyone from serving on any committee created by the Board.
6. No employee of the Agency may serve on the Board of Directors. Former employees must be out of serve at least three (3) years before becoming eligible to serve on the Board of Directors.

Nomination Procedures

1. Nominations for each officer's position will be made from a slate presented by the Nominating Committee Chairperson and/or from the floor and recorded on a ballot sheet maintained by a non-board member.
2. Each nominee for Chairperson will be given up to three (3) minutes to give a brief statement of his/her behalf. Nominees for other positions shall be given one (1) minute each for his/her statement to the Board.

POLICY COUNCIL BYLAWS
Bylaws of
The Agricultural and Labor Program, Inc.
Head Start/Early Head Start Policy Council

Article I – Name

Section 1 The name of this body shall be The Agricultural and Labor Program, Inc. Head Start/Early Head Start Policy Council.

Article II - Purpose and Functions

Section I **Purpose:**
The purpose shall be to implement the Head Start Program Performance Standards 1304.50 (Program Governance) and Appendix A, for which this Head Start/Early Head Start Policy Council is created to perform the following functions directly:

- a. Serve as a link to the Parent Committees, ALPI's Board of Director's, public and private organizations, and the communities served.
- b. Assist Parent Committees in communicating with parents enrolled in all program options to ensure that they understand their right and responsibilities and the opportunities available in Early Head Start and Head Start, and to encourage their participation in the program.
- c. Assist Parent Committees in planning, coordinating, and organizing program activities for parents with the assistance of staff and ensure that funds set aside from program budgets are used to support parent activities (Parent Activity Funds).
- d. Assist in recruiting volunteer services from parents, community residents, and community organizations, and assist in the mobilization of community resources to meet identified needs.
- e. Work with The ALPI's Board of Directors to establish and maintain procedures to resolve community complaints about the program.

Section II **Functions:**
The general functions of The Agricultural and Labor Program, Inc. Head Start/Early Head Start Policy Council, in accordance with 1304.50, are to work in partnership with key management staff and the ALPI Board of Directors to develop, review, and approve or disapprove the following policies and procedures.

- a. All funding applications and amendments to funding applications for Head Start/Early Head Start, including administrative services, prior to the submission of such applications to DHHS.
- b. Procedures describing how the ALPI Board of Directors and the Head Start/Early Head Start Policy Council will implement shared decision-making.
- c. Procedures for program planning.
- d. Procedures for the program's philosophy, and long-range and short-range goals and objectives of the program.
- e. The selection of delegate agencies or contracted centers and their service area (if applicable).

(Amended 4/26/2014)

- f. The composition of the Policy Council and the procedures by which members are chosen.
- g. Criteria for defining recruitment, selection, and enrollment priorities, in accordance with the requirements of 45 CFR 1305.
- h. The annual self-assessment of ALPI's progress in carrying out the programmatic and fiscal intent of its grant application, including planning or other actions that may result from the review of the annual audit findings from the federal monitoring review.
- i. Program personnel policies and subsequent changes to those policies, including standards of conduct for program staff, consultants, and volunteers.
- j. Decisions to hire or terminate the Head Start Director and any person who works primarily for Head Start Program.
- k. Decisions to hire or terminate the Early Head Start Director and any person who works primarily for Early Head Start Program.

Article III - Membership

Section I **Composition**

At least 51% of the membership of the ALPI Head Start/Early Head Start Policy Council shall be comprised of parents of currently enrolled children. Parents of all program options must be proportionally represented.

Section II **Categories**

Membership shall be comprised of two types of representatives: parents of children currently enrolled and community representatives.

- a. There shall be three (3) categories of parent representatives:
 - 1. Regular Head Start parent committees will elect one or more, (based on current approved Policy Council composition) parent members to serve on the Council, and one alternate who will act in place of the representative in his or her absence.
 - 2. Early Head Start parent committee will elect one parent member to serve on the Council, and one alternate who will act in place of the representative in his or her absence.
 - 3. Contracted center will elect one parent member to serve on the Council, and one alternate who will act in place of the representative in his or her absence.
 - 4. Community representatives will be drawn from the local community, businesses, public or private community, civic, and professional organizations, and others who are familiar with resources and services for low income children and families. Former Head Start/Early Head Start parents may also be community representatives. One ALPI Board member will serve as a voting representative on the Policy Council.
 - 5. ALPI's Board of Directors approves the procedures for election of parent members and the selection of community representatives. The procedures and the representatives must be approved by Policy Council.

Section III **Term of Office**

Policy Council members shall serve for a term of one (1) year. No member shall serve on the Policy Council for more than three (3) one-year terms.

(Amended 4/26/2014)

- Section IV Voting Rights**
Each member of the Policy Council shall have one vote. A record of all Policy Council members entitled to vote shall be maintained by the Policy Council Secretary and made available at any meeting upon request by any member. Centers shall submit the names of their representatives and alternates to the Policy Council prior to the October meeting. Such names must have been submitted to the Policy Council in order to allow alternates to vote during the absence of an elected representative. The names of alternates that have not been submitted (in writing) will not be permitted to vote under any conditions. An alternate is eligible to serve as a voting member in the absence of a Policy Council Member.
- Section V Termination of Membership**
A member of the Policy Council can be terminated by a two-thirds vote of the Policy Council if absent from two (2) consecutive meetings without having submitted a legitimate excuse in writing to the Chairperson prior to the meeting.
- Section VI Resignation**
A member shall give a written statement prior to resignation from the Policy Council.
- Section VII Vacancy**
All Parent Committees shall elect a new parent member of the Policy Council within 30 days whenever there is a vacancy from that center. If a Community Representative creates the vacancy, that vacancy will also be filled within 30 days.
- Section VIII Nepotism**
No ALPI agency staff (or members of their immediate families) may serve on the Policy Council.

Article V - Officers

- Section I Officers**
The Policy Council shall elect a Chairperson, Vice-Chairperson, Secretary, and Treasurer. Other officers shall be elected as deemed necessary by the Council.
- Section II Election and Term of Office**
Each officer shall be elected by the full membership of the Policy Council once the full Council has been seated and shall serve a term of one (1) year. The Council will be seated in October of every year.
- Section III Removal**
Any officer or member of the Council who fails to perform the duties as outlined in the bylaws, can be removed by a two-thirds vote of the Policy Council.
- Section IV Chairperson**
The Chairperson shall preside at all meetings and maintain order. The Chairperson also serves on committees and coordinates activities as needed; acts as the official representative of the Council; is knowledgeable of Council By-Laws, Head Start policies and requirements; performs other duties as assigned.

(Amended 4/26/2014)

Section V Vice-Chairperson
The Vice-chairperson shall preside in the absence of the chairperson or whenever the Chairperson temporarily vacates the chair. In case of resignation or death of the chairperson, the Vice-Chair shall assume the office until a permanent chair is elected.

Section VI Secretary
The Secretary shall record the minutes of every Policy Council meeting; read correspondence as needed, and maintain a file/record of minutes; assist the Chairperson in following the agenda and record, read motions as they are made, read minutes of the last meeting; work with key management staff to ensure copies of the Bylaws, standing rules, roster of members, a list of unfinished business and a copy of each agenda; minutes mailed to each member prior to the meeting; keep a file of all correspondence received; and perform other duties as assigned.

Section VII Treasurer
The treasurer shall keep accurate records and maintain funds, if applicable; works with key management staff to ensure that all applicable Treasurer reports are prepared and provided to Council.

Article V - Committees

Section I Committees
The Policy Council shall appoint such committees as are necessary to the proper conduct of business, including but not limited to the following: Executive Committee, Personnel Committee, Grievance Committee, and Grants/Fiscal Committee.

Section II Executive Committee
The Executive Committee shall be composed of the Officers of the Policy Council. The Executive Committee shall have the power to conduct business for the Policy Council between regular meetings.

Section III Personnel Committee
This committee will be invited to assist in screening, interviewing and recommending persons to be hired to fill vacancies in the Head Start/Early Head Start staff. The committee will review and discuss the ALPI Personnel Policies and Procedures, and will make recommendations to the Council prior to the Council's approval of said Personnel Policies and Procedures.

Section IV Grievance Committee
The committee shall hear grievances from the community, and from parents who have followed the grievance procedures established by ALPI (the governing Body) and the Policy Council. This committee may also hear grievances of Head Start/Early Head Start staff and present their findings to the Personnel Committee or ALPI (Governing Body).

Section V Grants/Fiscal Committee
This committee will review and assist in the preparation of the Head Start/Early Head Start grant application and any amendments to funding. They will also work with the Treasurer in monitoring the Parent Activity Fund.

Section VI Special Committees
Special committees may be appointed by the Chairperson or selected by the Council as the need arises.

Article VI - Meeting

Section I Regular Meetings
Regular meetings of the Council shall be held once a month except July, August & September. The exact meeting date and time will be determined yearly by a majority vote during the annual orientation of new members. Monthly meetings will begin in October of each year.

Elected Policy Council members and alternates shall be present during Policy Council Orientation each year.

Unless otherwise specified in the Bylaws, any or all members of the Policy Council may participate in a meeting of the Policy Council by means of conference telephone or by any other means of communication by which all persons participating in the meeting are able to hear one another. Such participation shall constitute presence in person at the meeting.

Section II Special/Call Meetings
There will be special meetings of the Council only when there is a need, and the Chairperson shall call all special meetings at least 48 hours in advance.

Section III Notice of Meetings
Written notices shall be mailed to each member at least five (5) days prior to the date of each regular meeting. A copy of the agenda for the meeting will also be enclosed. Notices of special meetings shall be mailed to each member at least 48 hours prior to the date of the date of the meeting, with an explanation for the special meeting.

Section IV Quorum
A majority of 51% of the members of the Council must be present to constitute a quorum in order to transact business for regular or special meetings.

Article VII - Meeting Travel Allowances

Section I Reimbursements: In accordance with ALPI Business Travel Expense and Reimbursement Policy and Procedure Manual, reimbursement (payment made to cover the cost of certain expenses incurred as a result of attendance at a meeting or in the performance of other office duties and responsibilities in connection with ALPI Head Start/Early Head Start Program) shall be made to Head Start/Early Head Start parents who are members of the Policy Council in the following manner:

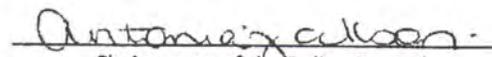
- a. A meeting is considered to take place (for purposes of allowances and reimbursements only) when proper notification has been made inviting the participants to attend even if no quorum is achieved.
- b. A person may be paid an allowance as long as his/her family income falls within HHS poverty guidelines and as long as he/she is not a federal employee, not an employee of ALPI or contracted centers, and not an employee of a state or local government agency.

- c. Allowances are based upon the agency's procedure for reimbursement of meetings. Such allowances are limited to two meetings per month regardless of whether the meetings are for the same or different policy-making bodies. This allowance is limited to only those members of the Policy Council (representatives and alternates) and those elected or selected Parent Committee members. Transportation could be provided for members to attend meetings.
- d. Childcare cost will be reimbursed for attendance at out-of-town meetings. Cost will be reimbursed to the traveler in an amount not to exceed the state approved rate per day. Reimbursement requests must be presented by the traveler and accompanied by a receipt.
 1. **Per Diem:** Per Diem may be paid to both eligible and non-eligible members of policy-making bodies when attendance at a meeting requires overnight lodging. Such payment shall be in accordance with the Federal Register as approved by the Board of Directors yearly.
 2. **Meals:** Reimbursements for cost of meals may be paid to the eligible member, in accordance with rates outlined in ALPI Business Travel Expense and Reimbursement Policy and Procedure Manual.
 3. **Other Expenses:** Calls made on a private telephone will not be allowed as reimbursable expense. The Head Start/Early Head Start Program will make available to parents who are members of the Policy Council the use of telephones in the offices of the agency.

Article VIII - Amendments

Sending a copy of the proposed amendment to each Policy Council member at least two (2) weeks before the meeting may amend these Bylaws. The Policy Council may debate an amendment before adoption. All amendments must be approved by a two-thirds vote of the Policy Council.


Chairperson of ALPI Board of Directors


Chairperson of the Policy Council

Date Amended and Adopted: April 26, 2014

The Agricultural and Labor Program
Member of the Advisory Council
Job Description and Expectations

Purpose: To advise, and assist with community advocacy efforts and general promotion of The Agricultural and Labor Program, Inc. to support the organization's mission and needs.

Mission statement: The Agricultural and Labor Program, Inc.'s mission is to propose, implement and advocate developmental human service delivery programs for the socially and economically disadvantaged, children and families, and farm workers.

***Major responsibilities:**

Advisory Councils work with board and staff members before they take action and provide feedback after activities take place. A nonprofit might ask its advisory Councils to meet with a department or committee head to help plan the organization's annual meeting, review budgets, provide feedback on the organization's educational programs or help with fundraising.

- Assist in the organization of the council's membership, officers, and committees
- Promotion of the organization
- Organization the council's fundraising and outreach activities
- Regularly attends council meetings and important organization related meetings.
- Makes serious commitment to participate actively in council's committee work.
- Volunteers for and willingly accepts assignments and completes them thoroughly and on time.
- Stays informed about council matters, prepares well for meetings, and reviews and comments on minutes and reports.
- Gets to know other council members and builds a collegial working relationship that contributes to consensus.
- Participates in fund raising for the organization.

**Members of the board share these responsibilities while acting in the interest of The Agricultural and Labor Program, Inc. Each member is expected to make recommendations based on his or her experience and vantage point in the community.*

Length of term: Two years term, which may be renewed, pending approval via the council's election process.

Meetings and time commitment:

- The councils meets at least bi-monthly during the months of April, June, September, November and January on the fourth Saturday of the month at 10:00 a.m. in designation service areas as determine by the board. Meetings typically last 90 minutes.
- Committees of the board meet an average of four times per year, pending their respective work agenda.
- Council members are asked to attend no less than two meetings and all special events per year, as they are determined.

Expectations of board members:

- Attend and participate in meetings on a regular basis, and special events as able.
- Participate on a standing committee of the board, and serve on ad-hoc committees as necessary.
- Be alert to community concerns that can be addressed by the organization's mission, objectives, and programs.
- Help communicate and promote the organization's mission and programs to the community.
- Become familiar with the organization's finances, budget, and financial/resource needs.
- Understand the policies and procedures of the organization.
- Financially support the organization in a manner commensurate with one's ability.



COUNCIL/COMMITTEE MEETING REPORT FORM

INSTRUCTIONS: Complete and submit to the Board Secretary after reporting to the full Board.

Policy Council

COUNCIL/COMMITTEE

November 7, 2016

DATE

Members Present/Absent: Attach Meeting Attendance Roster

Type of Report

- Reporting/Updating
 Recommending Board Action
 Recommending Policy Changes

Brief Statement of Committee's Issue/Area Reporting:

- ✓ The newly elected Policy Council for the 2016-2017 Program Year was seated on October 17, 2016. Orientation/training was conducted by Mable Jones from the Jones Connection on October 17-18, 2016. Ms. Jones facilitated the election process. The elected officers are:
 - Corey Breon Williams, Chairperson & Board Representative
 - Nijona Patterson, Vice-Chairperson
 - Tychus Doe, Secretary
 - Rhonda Boston, Assistant Secretary
- ✓ The first Policy Council meeting was conducted on October 19, 2016. The items presented for review, discussion and approval include but are not limited to the following:
 - Program progress monthly reports
 - Program financial reports
 - Parent committee reports
 - Human Resources Reports (September 15, 2016-Action Ratified & October 19, 2016)

Brief Background information and possible impact of issue/area (i.e.: Why is it an issue? Will funding, staff utilization, services and/or facility changes be necessary?)
Not at this time.

Recommendation for Board Action, if any (State in the form of a motion(s) to be acted upon by the full Board).
Attach brief summary of request.
Not at this time.

Agricultural and Labor Program, Inc.
Head Start/Early Head Start Policy Council Governance Orientation/Training
ALPI Administrative Office
2202 Avenue Q, Fort Pierce, FL
October 17-18, 2016

The Agricultural and Labor Program, Inc., and Mable Jones, from The Jones Connection facilitated and trained the newest elected Policy Council members for the 2016-2017 program year on Share Governance. Elizabeth Young, Division Deputy Director; Myrna Rodriguez and Aletha Stroder, Program Operations Directors greeted and welcomed participants.

Present: Corey Breon Williams, Haydian Allen, Nijona Patterson, Samantha Lindsay, Donna Gibson, Josephine Howard, Karen Bailey, Jasmine Prtchett, Satorial Calhoun, Tychus Doe, Juan Rushing, Danielle Parrish, and Bryana Barnett.

Staff Present: Elizabeth Young, Myrna Rodriguez, Aletta Stroder, and Bessie Armstrong.

Elizabeth Young welcomed all members and thanked them for their commitment and interest in being a part of the Policy Council. Mable Jones facilitated the instruction of participants. Ms. Jones provided an overview of the training materials that each participant had received. These materials included, but were not limited to the following: Program Governance Manual for Policy Council and Board of Directors, PowerPoint presentation, etc.

Mable Jones provided an overview of the materials covered in the Manual to include but not limited to:

- Leadership
 - New Thinking About Leadership
 - Characteristics of Leaders
- Communication Skills
 - Definition of Communication
 - Improving Communication Skills
- Program Governance
- New Head Start Performance Standards
 - Policy Council
 - Parent Committee
- Parent Committee Structure
 - Parent Community Responsibilities
- Parent, Family and Community Engagement Framework
- Organizing Effective Meetings

On the second day, Mable Jones opened up the meeting by welcoming everyone and asking new participants to introduce themselves. Mable Jones continued with the overview of the New Head Start Performance Standards.

Mable Jones provided a brief description of the election process emphasizing the responsibilities of the officers. The Policy Council membership and quorum was established. Ms. Jones opened the floor for nomination for Chairperson.

Chairperson: Corey Breon Williams, Nijona Patterson and Danielle Parrish were nominated. Nominations were closed. Approval by ballot voting Corey Breon Williams was elected Chairperson.

Vice-Chairperson: Nijona Patterson and Danielle Parish were nominated. Nominations were closed. Approval by ballot voting Nijona Patterson was elected Vice-Chairperson.

Secretary: Tychus Doe and Rhonda Boston were nominated. Nominations were closed. Approval by ballot voting Tychus Doe was elected Secretary.

Assistant Secretary: Rhonda Boston was nominated. Nomination was closed on the said name. Approval by ballot voting Rhonda Boston was elected Assistant Secretary.

PC Board Representative: Corey Breon Williams will represent the Policy Council at the Board of Directors Meetings as a voting member.

In closing Elizabeth Young congratulated elected members and welcomed and thanked them once again for their commitment to the program and the organization. Members were reminded of the upcoming Policy Council Meeting scheduled for October 19, 2016; at which time it will be the first business meeting.

Policy Council Chairperson

Date

Agricultural and Labor Program, Inc.
Head Start/Early Head Start Policy Council Meeting
ALPI Administrative Office
2202 Avenue Q, Fort Pierce, FL 34950
October 19, 2016

MINUTES

1. CALL TO ORDER

Corey Breon Williams, Policy Council Chairperson called the meeting to order at 12:49 p.m.

2. ROLL CALL

Tychus Doe, Policy Council Secretary conducted the roll call. Members present: Danielle Parrish, Brittney Thomas, Corey Breon Williams, Haydian Allen, Nijona Patterson, Rhonda Boston, Tychus Doe, and Juan Rushing.

Community Representative present: Donna Gibson, Karen Bailey, and Josephine Howard.

Policy Council Alternates present: Jacqueline Castaneda, Jasmin Prtchett, Antonia Jackson and Bryana Barnett.

A quorum was established.

Staff present: Elizabeth Young, Myrna Rodriguez and Aletta Stroder.

3. MISSION STATEMENT

Nijona Patterson, Policy Council Vice-Chairperson read the Mission Statement.

4. SECRETARY'S REPORT

No minutes were presented at this time. Minutes from the Policy Council orientation will be presented at the next meeting on November 16, 2016.

5. POLICY COUNCIL COMMITTEES

Personnel/Grievance Committee: Elizabeth Young presented and distributed the Human Resources List of new hires and terminations for review, discussion and approval. The list included the approval of the September 15, 2016 Human Resources listing of new hires approved by the Policy Council Executive Committee: New hires –2 Teachers, 4 Teacher Assistants, 2 Caregivers, and 1 Maintenance Worker. The information such as names, qualifications, dates of hire, background clearance dates, etc. were read. The terminations included: 1 Administrative Assistant and 1 Caregiver.

Karen Bailey made a motion to approve the Policy Council Human Resources Listing as presented to include the ratification of the September 15, 2016 listing.

Josephine Howard seconded. Motion carried. (The original Human Resources Listing is on file with minutes).

Grants/Fiscal Committee: Myrna Rodriguez presented the Financial Reports. Ms. Rodriguez stated that the reports included the Financial Assistance Awards from the Department of Health and Human Services to serve 831 children and their families. Ms. Rodriguez provided an overview of the Awards and made an alignment with the funding amounts presented by Mable Jones at the Policy Council Orientation. In addition, Ms. Rodriguez introduced the Child Care Food Program Reimbursement for September 2016. Ms. Rodriguez provided an overview of the reimbursement. Ms. Rodriguez also stated there will be two additional reports the SunTrust Sunshine Account Statement and the Program Financial Report prepared based on the Financial Assistance Awards that will be presented at the next meeting on November 16, 2016. Ms. Rodriguez asked if there were any questions. All questions were answered.

Karen Bailey made a motion to approve the Financial Reports as presented. Donna Gibson seconded. Motion carried.

6. REPORTS

Head Start/Early Head Start of St. Lucie County, Myrna Rodriguez reported. Ms. Rodriguez provided a brief overview of the report content and format and indicated that program benchmarks and timelines are in accordance with the grant application for Head Start and Early Head Start. Ms. Rodriguez asked if there were any questions regarding the enclosed Head Start/Early Head Start reports. All questions were answered.

Head Start/Early Head Start of Polk County, Aletta Stroder reported. Ms. Stroder stated the reports are the same format. Ms. Stroder asked if there were any questions regarding the enclosed Head Start/Early Head Start reports. All questions were answered.

Rhonda Boston made a motion to approve the reports as presented. Tychus Doe seconded. Motion carried.

7. PARENT COMMITTEE REPORTS

Corey Breon Williams asked for members to review the enclosed reports. Mr. Williams stated that the reports will be enclosed as part of the monthly package.

Karen Bailey made a motion to approve the reports as presented. Haydian Allen seconded. Motion carried.

8. OLD BUSINESS

None

9. NEW BUSINESS

Myrna Rodriguez presented several documents for review and approval at the next Policy Council meeting. These documents included:

- Personnel Policies and Procedures and Standards of Conduct
- Fiscal Management Policies and Procedures
- Policy Council Bylaws
- Internal Dispute Policy and Procedure
- Parent/Community Complaint Procedure

10. ADJOURNMENT

Josephine Howard made a motion to approve to adjourn the meeting. Rhonda Boston seconded. Motion Carried. The meeting adjourned at 2:00 p.m.

Policy Council Chairperson

SAMPLE

**AGRICULTURAL AND LABOR PROGRAM, INC.
2016-2017 POLICY COUNCIL MONTHLY MEETING ATTENDANCE**

CENTER	NAME	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT
Lincoln Park Head Start	Brittney Thomas	P											
Lincoln Park Head Start	Nicole Sikes	A											
Garden Terrace Head Start	Rhonda Boston	P											
Garden Terrace Head Start	Nijona Patterson	P											
Queen Townsend HSC II	Cynthia Penton	A											
Queen Townsend HSC II	Raquel Garcia	A											
Child Development & Family Services	Correy Breon Williams	P											
Child Development & Family Services	Haydian Allen	P											
Francina Duval Head Start	Danielle Parrish	P											
George W. Truitt Family Services	Samantha Lindsay	A											
George W. Truitt Family Services	Tychus Doe	P											
Frostproof Child Development	Juan Rushing	P											
EHS Contracted Site St. Lucie	Jasmin Canion	A											
HS Contracted Site St. Lucie	Melissa Boatwright	A											
Community Representative	Crystal Mike	A											
Community Representative	Karen Bailey	P											
Community Representative	Donna Gibson	P											
Community Representative	Dr. Lisa Griffith	A											
Board Representative	Josephine Howard	P											

Total Representatives Present: 11

CENTER	NAME	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT
ALTERNATES													
Lincoln Park Head Start	Toni Morgan												
Lincoln Park Head Start	Zulma Rosario												
Garden Terrace Head Start	Kim Kleekley												
Garden Terrace Head Start	Jasmin Prtchett	P											
Queen Townsend HSC II	Magnolia Washington												
Queen Townsend HSC II	Rosahda Porter												
Child Development & Family Services	Marisa Paige Knyshka												
Child Development & Family Services	Jacqueline Castaneda	P											
Francina Duval Head Start	Antonia Jackson	P											
George W. Truitt Family Services	Sharee Harris												
George W. Truitt Family Services	Satorial Calhoun												
Frostproof Child Development	Byrana Barnett	P											
EHS Contracted Site St. Lucie	Guilene Timothies												
HS Contracted Site St. Lucie	Viola Strowbridge-Lloyd												

4

P - PRESENT

E - EXCUSE A - ABSENT

 **NO MEETING**

The Agricultural and Labor Program
Member of the Advisory Council
Job Description and Expectations

Purpose: To advise, and assist with community advocacy efforts and general promotion of The Agricultural and Labor Program, Inc. to support the organization's mission and needs.

Mission statement: The Agricultural and Labor Program, Inc.'s mission is to propose, implement and advocate developmental human service delivery programs for the socially and economically disadvantaged, children and families, and farm workers.

***Major responsibilities:**

Advisory Councils work with board and staff members before they take action and provide feedback after activities take place. A nonprofit might ask its advisory Councils to meet with a department or committee head to help plan the organization's annual meeting, review budgets, provide feedback on the organization's educational programs or help with fundraising.

- Assist in the organization of the council's membership, officers, and committees
- Promotion of the organization
- Organization the council's fundraising and outreach activities
- Regularly attends council meetings and important organization related meetings.
- Makes serious commitment to participate actively in council's committee work.
- Volunteers for and willingly accepts assignments and completes them thoroughly and on time.
- Stays informed about council matters, prepares well for meetings, and reviews and comments on minutes and reports.
- Gets to know other council members and builds a collegial working relationship that contributes to consensus.
- Participates in fund raising for the organization.

**Members of the board share these responsibilities while acting in the interest of The Agricultural and Labor Program, Inc. Each member is expected to make recommendations based on his or her experience and vantage point in the community.*

Length of term: Two years term, which may be renewed, pending approval via the council's election process.

Meetings and time commitment:

- The councils meets at least bi-monthly during the months of April, June, September, November and January on the fourth Saturday of the month at 10:00 a.m. in designation service areas as determine by the board. Meetings typically last 90 minutes.
- Committees of the board meet an average of four times per year, pending their respective work agenda.
- Council members are asked to attend no less than two meetings and all special events per year, as they are determined.

Expectations of board members:

- Attend and participate in meetings on a regular basis, and special events as able.
- Participate on a standing committee of the board, and serve on ad-hoc committees as necessary.
- Be alert to community concerns that can be addressed by the organization's mission, objectives, and programs.
- Help communicate and promote the organization's mission and programs to the community.
- Become familiar with the organization's finances, budget, and financial/resource needs.
- Understand the policies and procedures of the organization.
- Financially support the organization in a manner commensurate with one's ability.



The Agricultural and Labor Program, Inc.
2015-2016 CRAC Attendance Roster
 (Scheduled Meetings: October, March, May, August)

Council Member	Oct 2015 Annual Corporate Membership Meeting	Jan 2016 Agency's 48 th Annual Mtg	Feb Agency's Shared Gov. Orientation	Mar	May	Aug	Sept Special Events Planning Meeting
Louvenia Crumity	P	E	E	E	E	P	
Earnestine Davis	E	P	E	A	P	P	
Clora Dubose	E	E	P	E	P	P	
Patricia Gamble	P	P	E	E	P	P	
Clarence Grier	P	E	P	E	P	P	
Josephine Howard	P	P	P	E	E	P	
Hollis Jackson	P	E	E	P	P	P	
Lillie Jackson	E	E	E	P	E	E	
Glenda Jones	E	P	P	P	E	P	
Annie Larkins	P	P	P	P	P	P	
Johnnie McNair	P	P	E	P	P	P	
Doris Parker	P	E	P	E	P	P	
Jacqueline Rentz	P	P	P	P	P	E	
Helen Rowe	P	P	P	P	E	P	
Patricia Salary						E	
Elizabeth Scaife	P	P	E	P	P	P	
Margaree Simon	E	E	E	P	P	P	
Dorothy Spencer	P	E	E	E	P	P	
Lydia Thomas	P	E	P	P	P	P	
Ruby Willix	P	P	P	P	E	E	
Total Present	14	9	10	11	13	15	

P = Present

E = Excused

A = Absent

THE AGRICULTURAL AND LABOR PROGRAM, INC.
 CENTRAL REGION ADVISORY COUNCIL MEETING
 AUGUST 10, 2016
 SIGN-IN SHEET

NAME	ADDRESS	TELEPHONE	SIGNATURE
Johnnie McNair, Chairperson	2872 Barton Place Bartow, FL 33850	Hm: 863/533-8230 Cell: 863/860-6151	
John Doles, Vice Chairperson	318 Towhee Rd Winter Haven, FL 33881	Hm: 863/293-8999	
Josephine Howard, Secretary	2711 Orchid Drive Haines City, FL 33844	Hm: 863/422-0875 Cell: 863/221-2644	
Dorothy Spencer, Treasurer	602 N. Brunnell Parkway Lakeland, FL 33815	Hm: 863/688-1906 Work: 863/534-7100 ext. 3	
Clarence Grier, Parliamentarian	1048 W. 8 th Street Lakeland, FL 33805	Hm: 863/683-1941 Cell: 863/660-8057	
Louvenia Crumity	101 Avenue V. N.W. Winter Haven, FL 33881	Hm: 863/293-2981	
Earnestine Davis	3079 Buckeye Point Drive Winter Haven, FL 33881	Hm: 863/268-6011	

THE AGRICULTURAL AND LABOR PROGRAM, INC.
CENTRAL REGION ADVISORY COUNCIL MEETING
AUGUST 10, 2016
SIGN-IN SHEET

NAME	ADDRESS	TELEPHONE	SIGNATURE
Clora Dubose	315 Avenue P, N.E. Winter Haven, FL 33881	Hm: 863/294-4630	
Patricia Gamble	P. O. Box 90942 Lakeland, FL 33805	Hm: 863/603-8853 Wk: 863/284-4245 Cell: 863/838-5111	J
Hollis Jackson	2414 Mary Jewett Circle, N. E. Winter Haven, FL 33881	Hm: 863/294-7514	
Lillie Jackson	2368 Edwin Street, N. E. Winter Haven, FL 33881	Hm: 863/294-3274	
Glenda Jones	P. O. Box 3311 Winter Haven, FL 33881	Hm: 863/294-5860 Wk: 863/294-5860	
Annie Larkins	P. O. Box 4044 Winter Haven, FL 33885	Hm: 863/294-1493	
Doris Parker	187 Rebecca Drive Winter Haven, FL 33881	Hm: 863/875-8765	

THE AGRICULTURAL AND LABOR PROGRAM, INC.
CENTRAL REGION ADVISORY COUNCIL MEETING
AUGUST 10, 2016
SIGN-IN SHEET

NAME	ADDRESS	TELEPHONE	SIGNATURE
Jacqueline Rentz	1004 Wildwood East Lakeland, FL 33805	Hm: 863/665-3131	
Helen Rowe	1400 Old Bartow/Eagle Lake Rd #4113 Bartow, FL 33831	Cell: 863/595-6501	
Elizabeth Scaife	2462 6 th Street, N.E. Winter Haven, 33881	Hm: 863/294-6522	
Margaree B. Simon	1030 West Tee Circle Bartow, FL 33830	Hm: 863/533-7872 Cell: 863/512-2453	
Lydia Thomas	3717 Feather Drive Lakeland, FL 33812	Hm: 863/644-3224 Wk: 863/499-2222 ext138 Cell: 863/602-6778	
Ruby Willix	2876 Dudley Drive Bartow, FL 33830	Hm: 863/537-6292 Cell: 863/207-1822	



ADVISORY COUNCIL/COMMITTEE MEETING REPORT FORM

INSTRUCTIONS: Complete and submit to the full Board.

Central Region Advisory Council

August 10, 2016

Council/Committee

Date of Report

Members Present/Absent: Meeting Attendance Roster attached

Type of Report

- Reporting/Updating
 Recommending Board Action
 Recommending Policy Changes

Brief Statement of Committee's Issue/Area Reporting:

- I. **CALL TO ORDER:** The meeting was called to order at 5:38 p.m. by Chairperson Johnnie McNair
- II. **MISSION STATEMENT:** Read in unison
- III. **MOMENT OF SILENCE:** Observed by all
- IV. **ROLL CALL:** See attached
- V. **SECRETARY REPORT:** The minutes (June 8, 2016): Louvenia Crumity moved to accept the minutes as presented with any necessary changes; seconded by Elizabeth Scaife. Motion carried.
- VI. **CORRESPONDENCE:** Benevolent Committee Report (see attached)
Josephine Howard moved to accept the written and presented policy; seconded by Elizabeth Scaife. Motion carried. The Committee was charged to go back and bring a recommendation to address sick members.
- VII. **BOARD REPRESENTATIVE REPORT:** Josephine Howard reported in Ruby Willix absence.
- VIII. **NEW BUSINESS:**
 - **2016 Annual Meeting**
 - ✓ Proposed location: Senior Center – Winter Haven
 - ✓ Proposed Keynote Speaker: Shawn Kinsey (Glenda Jones will make contact to confirm)
 - ✓ Mistress of Ceremony: Hollis Jackson (confirmed)
 - ✓ Meeting/Program Theme: Building Unity In Our Community
 - ✓ Caterer: Sonny's/serve 50 ppl
 - **Arabell Wiggins Scholarship Committee:**
Received seven (7) applications; the scholarship was awarded to recipient Rodvason Alnord. Other applications didn't meet criteria (i.e. incomplete, over income, etc.)
 - **2017 Agency's CRAC/Community Service Award** – Johnnie McNair and Margaree Simon nominated Libby Combee from Mosaic Café. The council agreed.
 - **One Goal Summer Conference** – Josephine Howard reported on her attendance/participation.
 - **Voter's Registration, Council Recruitment & LIHEAP Energy Fair** – Several members volunteered for these activities on August 10, 2016.

Brief Background information and possible impact of issue/area (i.e.: Why is it an issue? Will funding, staff utilization, services and/or facility changes be necessary?)

Recommendation for Board Action, if any (State in the form of a motion(s) to be acted upon by the full Board). Attach brief summary of request.



Today's Date:

Corporate Application

The Agricultural and Labor Program, Inc.
P.O. Box 3126 • Winter Haven, FL 33885 • www.alpi.org

Name _____
(Last) (First) (Middle Initial)

Mailing Address _____
(Street No./P.O. Box)

(City, County, State, Zip Code)

Home # () _____ - _____ Business # () _____ - _____

Cell # () _____ - _____ Email Address: _____

Race: [] Black [] White [] Hispanic [] Other Marital Status: [] Married [] Unmarried (single, divorced, widowed)

Household Size ____ Yrs. of Education ____ Occupation _____ Yrs. on Job ____ Yrs. in Profession ____

Registered Voter: [] Yes [] No Able to attend nights/weekends meetings: [] Yes [] No

Applicant's Signature _____ Date _____

Annual Recruitment is conducted May through September. All membership cards will be mailed in the month of October. Membership Applications received after May will be mailed in October of the following year.

I certify that this application has been reviewed by the Regional Advisory Membership Committee.

Regional Advisory Chairperson _____ Date _____

(Official Use Only)

The Agricultural and Labor Program, Inc.

Regional Applicant resides in [] Central [] Eastern [] Northern [] Southern

We certify that this application has been reviewed by the Board Membership Committee

Chairperson _____ Vice Chairperson _____

I.D. Number _____ Date Approved _____

Regional Advisory Council 2016 Election Procedures

To ensure the Agricultural and Labor Program Compliance with all applicable laws and funding regulations, all existing Regional Advisory Councils are hereby requested to abide by the following bylaws articles and procedures regarding the eligibility, term of office and election of 2016 Regional Council Members and officers.

Purpose

In accordance with the Bylaws of The Agricultural and Labor Program, Incorporated Article II Section 1 *The specific purpose for which this Corporation is formed is to assist agricultural workers, disadvantaged, disenfranchised persons and other interested members of the community and their family members in cooperatively meeting their needs for better health, education, social services, home life, economic opportunities and human relations. In furtherance of this purpose, the Corporation shall have all powers conferred by Chapter 617 of the Florida Statutes, including but not limited to the following powers: ...to create an Advisory Council in each of the four regions currently in operation, Southern, Eastern, Central and Northern, and to continue same in any new region that may be created for the purpose of aid and counsel to the Board of Directors...*, all existing Regional Advisory Councils are to adhere to the Bylaws of The Agricultural and Labor Program, Incorporated following Article, Sections and Procedure Clarifications regarding the eligibility, term of office and election of Council Members and Officers.

DEFINITION OF REGIONS

Central Region Target Areas

- **North Osceola County**
- **Hillsborough County**
(Dover, Ruskin, Wimauma, Plant City)
- **North Polk County**
(Lakeland, Bartow, Lake Alfred, Auburndale, Winter Haven, Haines City, Mulberry, Polk City, Davenport, Bradley, Waverly, Poinciana, Wahneta, Eagle Lake, Gordonville, Eloise, Gordon Heights)

Southern Region Target Areas

- **Highlands County**
(Avon Park, Sebring, Lake Placid)
- **Southern Polk County**
(Lake Wales, Ft. Meade, Frostproof)
- **Southern Osceola County**
- **Hendry County**
(Labelle, Clewiston)
- **Glades County**
(Moore Haven)
- **Collier County**
(Immokalee & Naples)

- **Hardee County**
(Wauchula, Bowling Green, Zolfo Springs)

Northern Region Target Areas

- **Brevard County**
- **Seminole County** (Sanford)
- **Volusia County** (Deland, Pierson)
- **Lake County** (Leesburg)
- **Putnam County** (Crescent City)
- **Pasco County** (Dade City)
- **Orange County**
(Apopka, Orlando, Winter Park, Zellwood)

Eastern Region Target Areas

- **Okeechobee County**
(Okeechobee)
- **St. Lucie County**
(Ft. Pierce, Port St. Lucie)
- **Palm Beach County**
(Belle Glade, South Bay, Pahokee)
- **Martin County**
(Indiantown, Hobe Sound, Stuart, Port Salerno, Jensen Beach)
- **Dade County**
(Florida City)
- **Indian River County**
(Vero Beach, Gifford, Fellsmere, Wabasso)

ARTICLE X - REGIONAL ADVISORY COUNCIL

Section 1 The Corporation membership shall be divided into four (4) regions: Southern, Eastern, Central, and Northern, with each region having a Regional Advisory Council. The regions shall be designated by the Board of Directors.

Section 2 Regional Advisory Councils shall serve in an advisory capacity to the Board of Directors.

Section 3 The Regional Advisory Council shall have a membership of not less than nine (9) nor more than twenty-four (24).

PROCEDURE CLARIFICATION

All corporate members of a said region must have declared eligibility including residency via the corporate membership process to be eligible to serve on a said advisory council.

Section 4 No employee of the agency may serve on any Regional Advisory Council. Former employees must be out of service for at least one (1) year before becoming eligible to serve on any Regional Advisory Council.

Section 5 No member of a Council Member's immediate family shall serve as a Council Member of the same Regional Advisory Council during the same time as that Council Member. Immediate family is defined as follows: Husband, Wife, Mother, Daughter, Son, Father, Father-in-Law, Mother-in Law, Sister, Sister-in-Law, Brother, Brother-in-Law, Grandmother, Grandfather, Aunt, Uncle, Niece, and Nephew.

Section 6 Regional Advisory Council membership shall be for three (3) year periods. There shall be an annual meeting of the Corporate membership in each of the four (4) previously identified regions. Said meeting will be held each year before the end of November. Those in attendance and who are entitled to vote shall elect Regional Advisory Council members. At each annual Regional Advisory Council meeting eight (8) persons shall be elected for three year terms. It is the intent of this provision to continue to provide for staggered three year terms with a total of eighteen members for each Regional Advisory Council.

PROCEDURE CLARIFICATION

- All eligible Council Members present may submit their name in nomination via the Nomination Committee or may be nominated from the floor to fill any vacant slot at the time of the election.*
- A vacancy slot thereafter in any Council Membership and/or Council officer's slot may be filled by election by a majority of the council members present at a duly held council meeting. The elected officer and/or member shall serve for the remainder of the term of the office and/or membership slot she/he replaces.*

Once sworn-in as Regional Advisory Council members, they shall immediately elect their officers and their representatives to the Board of Directors. All members elected to the Board of Directors shall be representatives of the low-income communities of said region. Regional Advisory Council officers may be elected as a low-income community representative if appropriate.

PROCEDURE CLARIFICATION

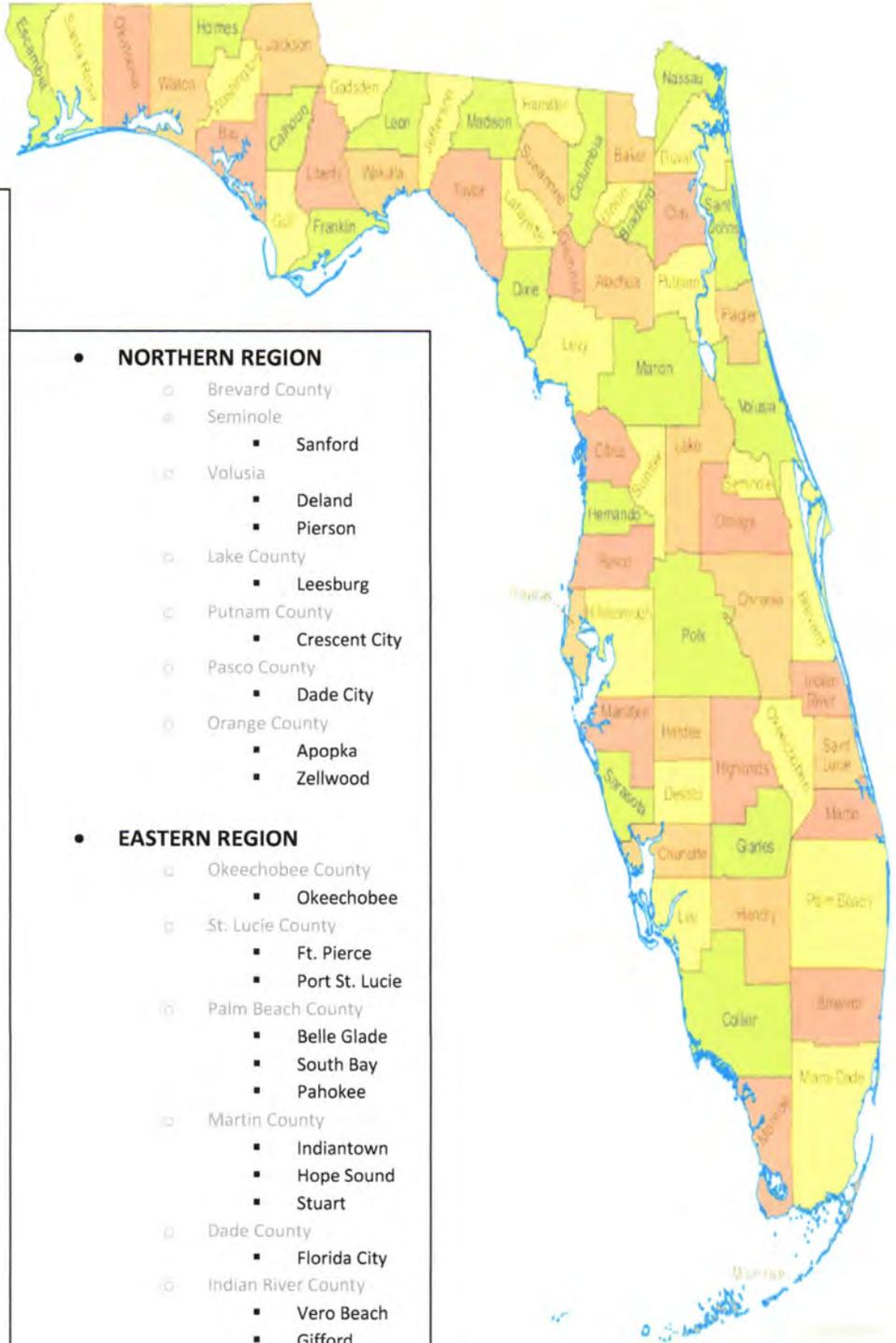
All Advisory Council Members seeking consideration to represent the council on the Board must have been a council member for not less than two years.

Section 7 If requested by the Board of Directors, the Regional Advisory Council shall recommend elected officials and local business/other representatives for consideration for appointment to the voting membership of the Board. The Board of Directors shall have the sole responsibility for making appointments of elected officials and local business/other representatives,

Section 8 All other designated subsidiaries and affiliates of ALPI shall fully comply with and adhere to these Bylaws as well as all applicable Policies and Procedures.



REGIONAL GEOGRAPHIC TARGET AREAS



• CENTRAL REGION

- North Osceola County
- Hillsborough County
 - Dover
 - Ruskin
 - Wimauma
 - Plant City
- North Polk County
 - Lakeland
 - Bartow
 - Lake Alfred
 - Auburndale
 - Winter Haven
 - Haines City
 - Mulberry
 - Polk City
 - Davenport
 - Bradley
 - Waverly
 - Poinciana
 - Juanita
 - Eagle Lake
 - Gordonville
 - Eloise
 - Gordon Heights

• SOUTHERN REGION

- Highlands County
 - Avon Park
 - Sebring
 - Lake Placid
- Southern Polk County
 - Lake Wales
 - Ft. Meade
 - Frostproof
- Southern Osceola County
- Hendry County
 - Labelle
 - Clewiston
- Glades County
 - Moore Haven
- Collier County
 - Immokalee
 - Naples
- Hardee County
 - Wauchula
 - Bowling Green
 - Zolfo Springs

• NORTHERN REGION

- Brevard County
- Seminole
 - Sanford
- Volusia
 - Deland
 - Pierson
- Lake County
 - Leesburg
- Putnam County
 - Crescent City
- Pasco County
 - Dade City
- Orange County
 - Apopka
 - Zellwood

• EASTERN REGION

- Okeechobee County
 - Okeechobee
- St. Lucie County
 - Ft. Pierce
 - Port St. Lucie
- Palm Beach County
 - Belle Glade
 - South Bay
 - Pahokee
- Martin County
 - Indiantown
 - Hope Sound
 - Stuart
- Dade County
 - Florida City
- Indian River County
 - Vero Beach
 - Gifford
 - Fellmere



THE AGRICULTURAL AND LABOR PROGRAM, INC.
JOB DESCRIPTION
JOB TITLE: Chief Executive Officer

DESCRIPTOR	RESPONSE	DESCRIPTOR	RESPONSE
EXEMPT (Y/N)	Yes	JOB CODE	01
SALARY GRADE	TBA	DOT CODE	n/a
SHIFT	n/a	DIVISION	n/a
LOCATION	Central	DEPARTMENT	n/a
EMPLOYEE NAME	Deloris Johnson	SUPERVISOR	Board of Directors

SUMMARY:

The Chief Executive Officer (CEO) is directly responsible to the Board of Directors for the administration of The Agricultural and Labor Program Inc. (ALPI) under the guidelines of the Board of Directors and within the intent and purposes of the Articles of Incorporation and Bylaws. Together, the Board and the CEO assure ALPI's relevance to the community, the accomplishment of ALPI's mission and vision, and the accountability of the Organization to its diverse constituents. The Board delegates responsibility for management and day-to-day operations to the CEO and s/he has the authority to carry out these responsibilities, in accordance with the direction and policies established by the Board. The CEO provides direction and enabling to the Board as it carries out its governance functions.

ESSENTIAL DUTIES AND RESPONSIBILITIES:

Include the following.

1. **BOARD ADMINISTRATION AND SUPPORT** - Support operations and administration of the Board by advising and informing Board Members, interfacing between Board and staff, and supporting Board's evaluation of Chief Executive; Reports programmatic and fiscal progress to Board of Directors and arranges regular meetings.
2. **PROGRAM, PRODUCT AND SERVICE DELIVERY** - Designs, develops and implements programs which meet The Agricultural and Labor Program, Inc. objectives; Manages the program activities and assists staff members on projects as appropriate; Performs research studies of existing programs and procedures to provide uniform evaluation and subsequent administration of project activities; Directs staff and assigns work schedules for all facets of the program's operation; Maintains appropriate liaison with consulting firms, governmental agencies, funding sources and other organizations as required to complete stated objectives; Conducts research studies of existing programs and procedures related to The Agricultural and Labor Program, Inc. functions; Seeks to secure funds from any appropriate funding source in order to achieve the objectives and intent of The Agricultural and Labor Program, Inc.; Initiates proposals and other documents necessary for funding requests.
3. **FINANCIAL, TAX, RISK , FACILITIES AND CAPITAL IMPROVEMENT MANAGEMENT** - Develop and recommend yearly budget for Board approval and prudently manage organization's resources within those budget guidelines according to current laws and regulations; Administers the budget as it pertains to assigned projects maintaining appropriate records to reflect the effects of expenditures to the overall organizational costs.

4. **HUMAN RESOURCE MANAGEMENT** - Effectively manage the human resources of the organization according to authorized personnel policies and procedures that fully conform to current bylaws and regulations.
5. **COMMUNITY AND PUBLIC RELATIONS** - Assures the organization and its mission, programs, products and services are consistently presented in strong, positive image to relevant stakeholder; Participates as an active member in seminars, conferences, workshops and information sessions to remain informed and knowledgeable of available resources and programs.
6. Participates as an active member in seminars, conferences, workshops and information sessions to remain informed and knowledgeable of available resources and programs.
7. Performs other duties as required.

SUPERVISORY RESPONSIBILITIES:

Supervises directly: Executive Office Assistant, Budget & Finance Director, Program Operations & Quality Control Director, Human Resources Director, Community Service & Economic Services Division Deputy Director, Child Development and Family Services Division Deputy Director

QUALIFICATION REQUIREMENTS:

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodations may be made to enable the individuals with disabilities to perform the essential functions.

EDUCATION and/or EXPERIENCE:

At least a bachelor degree in Sociology, Business Administration, Education or other related field with a minimum of six (6) years experience in administration and supervision. Applicable experience may be considered in lieu of formal education.

OTHER SKILLS and ABILITIES:

Must demonstrate critical competencies in four broad categories: commitment to results, business savvy, leading change, and motivating.

- **Commitment to results:** The Executive Director must be a systems thinker who is customer focused and goal driven. This individual identifies relevant information and helps transform this information into individual and organizational knowledge and learning. The chief executive is action oriented and innovative. S/he translates broad goals into achievable steps. S/he anticipates and solves problems and takes advantage of opportunities, is a self-starter and team player.
- **Business savvy:** As ALPI's leader, this position requires an individual with knowledge of and experience in management and administration. The position requires demonstrated experience in integrating and coordinating diverse areas of management.
- **Leading change:** The chief executive must possess the skills and implements the functions of a leader. S/he shares ALPI's values, mission and vision. S/he consistently displays integrity, models behavior, develops people, and builds teams. This individual deals effectively with demanding situations and designs and implements interventions.
- **Motivating:** The chief executive must manage continuity, change and transition. This individual knows how to influence and enable others. S/he addresses the impact of attitude and action on the ABC and its participants.

Must demonstrate knowledge in the following areas is required: human services finance and personnel; oral and written communications; planning and evaluation; and governance. Some experience in the field of philanthropy, not-for-profit management and governance, and community relations is preferred.

Must demonstrate some general knowledge of fund development is also preferred. A high level of personal skills is required to make formal, persuasive presentations to groups and to deal effectively with people from all segments of the community. The individual must be comfortable with diversity and respectful of a wide range of faiths, beliefs and experiences.

LANGUAGE SKILLS: Ability to read, analyze, and interpret common technical journals, financial reports, and legal documents. Ability to respond to common inquiries or complaints from clients, regulatory agencies, or members of the business community. Ability to write proposals for funding, reports and speeches. Ability to organize and conduct meetings. Ability to effectively present information to top management, public groups, and/or boards of directors.

REASONING ABILITY: Ability to define problems, collect data, establish facts, and draw valid conclusions. Ability to interpret an extensive variety of technical instructions with several abstract and concrete variables.

CERTIFICATES, LICENSES, REGISTRATIONS: Must have valid driver's license.

PHYSICAL DEMANDS/WORKING CONDITIONS:

This is a high-stress position based on full responsibility for ALPI operations. Handles detailed, complex concepts and problems, balances multiple tasks simultaneously, and makes rapid decisions regarding administrative issues; Plans and implements programs. Establishes strong and appropriate relationships with Board, committees, volunteers, staff, donors and clients; Develops smooth and constructive relationships with executive colleagues, outside agencies, organizations and individuals; Plans and meets deadlines; Maintains a flexible work schedule to meet the demands of executive management. Hours may be long and irregular; Conveys and professional and positive image and attitude regarding ALPI and the not-for-profit and for-profit sectors; and Demonstrates commitment to continued professional growth and development. Must occasionally lift and/or move up to 10 pounds.

WORK ENVIRONMENT:

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. Reasonable accommodations may be made to enable the individuals with disabilities to perform the essential functions. The noise level in the work environment is usually moderate.

DATE REVIEWED/REVISED:	October 28, 2016
APPROVED BY :	Board of Directors
DATE APPROVED:	November 20, 2016

CEO CONFIRMATION OF RECEIPT:

Signature:  Date: 11/20/2016



THE AGRICULTURAL AND LABOR PROGRAM, INC.
Winter Haven, Florida

EVALUATION OF THE CHIEF EXECUTIVE OFFICER

Name _____

Year _____

Date of Evaluation _____

Evaluator Board of Directors

Evaluation procedures for assessing the performance of duties and responsibilities of the Chief Executive Officer is a function and responsibility of the Board of Directors. Through a system which is developed by the Executive Committee and approved by the Board, this is accomplished. The Board assumes responsibility for the development of the procedure by which the Chief Executive Officer is evaluated.

The ALPI Board of Directors views evaluation as an important personnel function and uses it in the following context:

It (evaluation) is a cooperative and continuous process involving the collection and analyzation of data for the express purpose of setting standards and redirecting effort in order to improve the quality of performance.

This evaluation is divided into three parts.

- I. **Chief Executive Officer's Self Evaluation - Part I**
 - A. Role and Scope of Position
 - B. Accomplishments
 - C. Goals

(To be completed by the CEO)

- II. **Board of Director's Evaluation of Chief Executive Officer - Part II**
 - A. Personal Qualifications
 - B. General Characteristics
 - C. Administrative Skills
 - D. Goals and Objectives

(To be completed by individual board member)

- III. **Chief Executive Officer's Evaluation Summary - Part III**
 - A. Chief Executive Officer's Major Accomplishments
 - B. Areas of Greatest Strength
 - C. Areas of Weakness
 - D. Overall Board Comments and Recommendations

(To be completed by Chairperson and/or designee)

This form was specifically designed whereby the Board evaluates those specific objectives that the Board and the Chief Executive Officer have agreed upon.

**CHIEF EXECUTIVE OFFICER'S SELF EVALUATION
PART I**

The Chief Executive Officer will complete this section and forward the document to the Board designated evaluator. After which, the Chief Executive Officer will schedule an appointment with the Board evaluator to discuss and complete the evaluation process.

Part I: The initial phase of the evaluation process is designated for the Chief Executive Officer to complete a self-analysis with regard to overall job performance and general program accomplishments.

A. ROLE AND SCOPE OF POSITION - (review approved job description and briefly describe any discrepancies).

B. ACCOMPLISHMENTS:

1) Briefly outline accomplishments during the past year.

2) Specify what pre-determined goals were not met and the reason.

C. GOALS

1) Briefly outline goals for the upcoming year.

2) Briefly outline long-range plan(s) for the organization.

3) Specify objectives for improving yourself professionally and what, if any assistance will be needed from the Board.

**BOARD OF DIRECTOR'S EVALUATION
OF THE
CHIEF EXECUTIVE OFFICER**

PART II

The ALPI Board of Directors and/or their designee, will use the following scale to evaluate the overall effectiveness of the Chief Executive Officer with regard to general management skills, personal qualifications and general characteristics.

<u>Key to the Rating Scale</u>		<u>Numerical Value</u>
Exceptional (E):	Outstanding in almost every aspect.	5
Good (G):	Above average performance.	4
Satisfactory (S):	Average performance.	3
Needs Improvement (NI):	Below acceptable standards of performance	2
Unsatisfactory (U):	Unacceptable standards of performance	0

PART II. This section is designated for each board member to rate the overall performance and effectiveness of the Chief Executive Officer.

A. PERSONAL QUALIFICATIONS

1) Initiative: Initiates action - Works without close supervision. Actively attempts to influence events that can affect the achievement of goals. Does not readily accept circumstances that interfere with the attainment of goals. Regularly originates ideas and activities.

Rating: _____

2) Integrity: Maintains the expected norms of personal, social and organizational behavior. Observes the established policies and rules. Expects high ethical standards of others. Expresses understanding of the reasons for ethical behavior. Understands the importance of presenting a positive image of ALPI to the public.

Rating: _____

3) Self-Control: Maintains composure under difficult circumstances. Responds constructively to challenges and criticism. Avoids display of temper. Maintains professional demeanor while dealing with co-workers and the general public. Maintains professional demeanor when other lose their temper.

Rating: _____

4) Stress Tolerance: Performs well under pressure. Maintains composure, good judgment and adequate performance levels under pressure caused by deadline, work load, opposition or other causes.

Rating: _____

5) Work Standards: Sets high goals and standards for self, subordinates, and the program. Is not satisfied with average performance. Sets goals that are significantly beyond the present level of performance. Demonstrates an expectation of superior performance. Regularly submits work well ahead of deadlines. Regularly submits work of superior quality. Implements Board policies and directives.

Rating: _____

B. GENERAL CHARACTERISTICS

1) Professional Competence: Demonstrates ability to perform the tasks associated with effective business management and personnel administration.

Rating: _____

2) Delegation: Allocates decisions and other responsibilities to the appropriate subordinates.

Rating: _____

3) Decision-making Ability: Makes realistic and rational decisions. Bases decisions on logical assumptions and relevant facts. Develops and analyzes alternative courses of action. Seeks advice and input of Board and Staff when appropriate.

Rating: _____

4) Communication: Demonstrates the ability to communicate effectively both orally and in writing. Gives oral and written instruction which result in prompt, accurate performance by staff. Keeps the Board adequately informed of developments and administrative action. Maintains appropriate liaison with external agencies.

Rating: _____

C. ADMINISTRATIVE SKILLS

1) Planning and Organizing: Organizes effectively and plans ahead to meet ALPI's future needs. Establishes a course of action for meeting an objective. Sets and observes priorities. Develops schedules for activities and projects.

Rating: _____

2) Evaluation: The Corporate Executive Officer conducts fair and reasonable assessment of the performance of ALPI employees under his/her direct supervision.

Rating: n/a

3) Management of Resources: Manage the fiscal resources of the organization. Operate within the constraints of the established budget.

Rating: _____

4) Supervision of Personnel/Training and Staff Development: The Corporate Executive Officer supervise employees closely when necessary and allow them to perform independently. Provide opportunities for training and staff development for all members of the organization.

Rating: _____

D. GOALS AND OBJECTIVES

1) Document: A written list of goals and objectives was provided to the Board.

Rating: _____

2) Appropriateness: Goals and objectives were appropriate based on the mission and the future projections of ALPI.

Rating: _____

3) Performance: Goals and objectives were met as outlined.

Rating: _____

E. OVERALL COMMENTS AND RECOMMENDATIONS

1) Board Member's Comments

2) Recommends Continuation of Employment _____ Yes _____ No

Evaluator's Signature _____ Date

CHIEF EXECUTIVE OFFICER'S EVALUATION SUMMARY
PART III

PART III. This section is the Narrative Appraisal to be completed by a representative who will summarize the comments of all other evaluations (Board Members and Chief Executive Officer).

A. Chief Executive Officer's Major Accomplishments

B. Areas of Greatest Strength

C. Areas of Weakness

D. Overall Comments and Recommendations

Chief Executive Officer's Response:

Chief Executive Officer's Signature

Date

ALPI Board of Director's Chairperson Signature

Date

Board Action:

Recommend contract continuation?

_____ Yes _____ No Date _____

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
	1. Log No. ACF-PI-HS-08-03	2. Issuance Date: 5/12/2008
	3. Originating Office: Office of Head Start	
	4. Key Words: Cap on Staff Compensation	

PROGRAM INSTRUCTION:

TO: Head Start and Early Head Start Grantees and Delegate Agencies

SUBJECT: Statutory Requirement regarding compensation of Head Start staff

INSTRUCTION:

The recently enacted Head Start Act contains new language in Section 653 regarding limitations on the compensation of Head Start staff. Specifically, it precludes using any Federal funds (including, of course, Head Start grant funds) to pay any part of the compensation of an individual employed by a Head Start agency if that individual's compensation exceeds the rate payable for level II of the Executive Schedule (currently \$172,200).

As you know, similar language regarding compensation limitations was included in the last few Head Start appropriations bills. However, some of the requirements of Section 653 are different than previous requirements. Specifically:

- Compensation is specifically defined in Section 653 to include "salaries, bonuses, periodic payments, severance pay, the value of any vacation time, the value of a compensatory or paid leave benefit not [explicitly] excluded and the fair market value of any employee perquisite or benefit not [explicitly] excluded." Explicitly excluded from counting as compensation is "any Head Start agency expenditure for a health, medical, life insurance, disability, retirement or any other employee welfare or pension benefit."
- The cap precludes any federal funds being used to pay an individual whose compensation exceeds the cap, not just Head Start grant funds. Moreover, unlike previous policy in which grant funds could be used to pay up to the cap, but not for any compensation that exceeded the cap, the new statutory requirement precludes any funds being used to pay any part of an individual's compensation, if that individual's compensation exceeds the cap. For example, previously if an individual who worked full time for Head Start had a 2008 compensation level of, say, \$180,000, that grantee would have been authorized to charge up to \$172,200 of that compensation to the Head Start grant, finding \$7,800 in non-grant funds to fully pay that individual. The new requirement will not permit any Head Start (or other federal) funds, to be used to pay any part of that individual's compensation. That is, all \$180,000 would have to come from non-federal sources or the individual's compensation would need to be reduced. It is important to note that this cap applies to all staff who receive any part of their compensation from Head Start (or other federal funding sources), including those whose salaries are part of an indirect cost pool.

The Office of Head Start recognizes that some grantees will need to make adjustments to their personnel policies and/or will need to have their indirect cost rate redetermined by their cognizant federal agency. In order to give these agencies a reasonable period of time to make such changes, implementation of the compensation cap will be effective for all Head Start grantees beginning with the awarding of their FY 2009 annual grant award. Grantees are urged to use the intervening time to make whatever adjustments are needed to assure full compliance with the compensation cap requirements.

Please direct any questions regarding this Program Instruction to your OHS Regional Office.

/ Patricia E. Brown /

Patricia E. Brown
Acting Director
Office of Head Start

DECLARATIONS

FEDERAL INSURANCE COMPANY

A stock insurance company, incorporated under the laws of Indiana, herein called the Company

Capital Center, 251 North Illinois, Suite 1100
Indianapolis, IN 46204-1927

Policy Number: 8170-2425

THE DIRECTORS AND OFFICERS LIABILITY AND ENTITY LIABILITY, FIDUCIARY LIABILITY AND EMPLOYMENT PRACTICES LIABILITY COVERAGE SECTIONS (WHICHEVER ARE PURCHASED) PROVIDE CLAIMS MADE COVERAGE, WHICH APPLIES ONLY TO "CLAIMS" FIRST MADE DURING THE "POLICY PERIOD", OR DURING AN APPLICABLE EXTENDED REPORTING PERIOD. THE LIMIT OF LIABILITY TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED AND MAY BE EXHAUSTED UNLESS OTHERWISE PROVIDED HEREIN, BY "DEFENSE COSTS," AND "DEFENSE COSTS" WILL BE APPLIED AGAINST THE RETENTION. IN NO EVENT WILL THE COMPANY BE LIABLE FOR "DEFENSE COSTS" OR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT IN EXCESS OF THE APPLICABLE LIMIT OF LIABILITY. READ THE ENTIRE POLICY CAREFULLY.

Item 1. Organization: Agricultural and Labor Program, Inc.
Principal Address: 300 Lynchburg Road
Lake Alfred, FL 33850

Item 2. Policy Period: (A) From: 12:01 A.M. on October 1, 2016
(B) To: 12:01 A.M. on October 1, 2017
Local time at the address shown in Item 1.

Item 3. A Combined Maximum Aggregate Limit of Liability is applicable:

Yes No The Combined Maximum Aggregate Limit of Liability for all **Claims** under all **Liability Coverage Sections** each **Policy Year** shall be: \$1,000,000.00

Item 4. Coverage is available for the following only:

Yes No Directors & Officers Liability and Entity Liability Coverage Section

Yes No Employment Practices Liability Coverage Section

Yes No Fiduciary Liability Coverage Section

Yes No Crime Non-Liability Coverage Section

Yes No Kidnap/Ransom and Extortion Non-Liability Coverage Section

ALPI BOARD OF DIRECTORS POLICY MANUAL

SECTION 1
Developing Board Policy

SECTION 2
Corporate Structure/Board Organization

SECTION 3
Chief Executive Officer (CEO)

SECTION 4
Meetings

SECTION 5
Organizational Finance

SECTION 6
Employment Policies

SECTION 7
Board Officers

SECTION 8
Committees of the Board

SECTION 9
Facilities

SECTION 10
Model Job Descriptions and Bylaws

SECTION I - The Process for Developing The Agricultural and Labor Program, Inc., Board Policy

The Board, as the ALPI governing body, is entrusted with the authority to establish policy for the governance of ALPI. Board policy establishes the parameters and guidelines for board members, committees, management and staff.

The purposes of our policies are to:

- ▶ inform everyone of board intent, goals and aspirations.
- ▶ prevent confusion among board members, staff and the public.
- ▶ promote consistency of board action.
- ▶ eliminate the need for instant (crisis) policy making.
- ▶ reduce criticism of the board and management.
- ▶ improve public relations.
- ▶ clarify board member, CEO and staff roles.
- ▶ give management a clear direction from the board.

MANAGEMENT POLICIES ARE NOT BOARD POLICIES

The ALPI Board makes an important distinction between board policies and management policies. Board policies establish the broad parameters within which board, management and staff will operate. Management policies, developed and implemented by the CEO, outline the specifics of how the organization and staff will operate within board policy.

Personnel policies are an example of management policy developed by the CEO. The CEO develops the personnel policies appropriate to his/her staff, and has them examined by an attorney familiar with personnel policy. The CEO then informs the board that personnel policies are in place, and provides board members with copies of the personnel policy handbook. The board is not directly involved with developing personnel policies other than to ensure that the CEO has carried out that project.

Once the Board officially adopts a new board policy, that policy is the standard for dealing with the subject matter covered by the policy. If an issue comes before the board that is not in line with existing policy, the issue is out of order and will be considered only in terms of policy change.

Policy requires a majority vote of the board

All policy decisions will be made by majority vote of the board and only at board meetings. Before adopting any policy, all board members will receive a copy of the proposed policy in advance of the meeting at which the vote is to be taken.

SOURCE OF POLICIES

Policies may be recommended to the board by committees of the board, individual board members or the CEO. All proposed policies will be researched to ensure that they are legal, and do not contradict already established policy or bylaws of ALPI. If approved by the board, policies will be written, coded, dated at time of approval and included in all copies of the board policy manual.

CONSIDERATIONS FOR ALL POLICIES

All policies proposed to the board should be tested to consider if the proposed policy is:

- ▶ really necessary for good operation of ALPI?
- ▶ consistent with our mission statement?
- ▶ within the scope of board authority?
- ▶ consistent with local, state and federal law?
- ▶ compatible with other policies of this board?
- ▶ practical?
- ▶ broad enough to cover the subject completely?
- ▶ enforceable?

ACCOUNTABILITY FOR CARRYING OUT ALL POLICIES

The CEO will be accountable to the board for carrying out these policies, ensuring that all policies are effectively explained to the employees and making every reasonable effort to see that they are understood, accepted and complied with.

DISTRIBUTION OF POLICY MANUAL

A copy of the board policy manual will at all times be available in the ALPI office for review and inspection by employees and board members. Each board member will be given a revised policy manual.

AMENDMENT OR SUSPENSION OF POLICY

All policies will be annually reviewed by the board or a committee of the board for accuracy and appropriateness, and recommendations will be made to the board for amendment, addition or elimination. Except as otherwise provided by law, any policy of the board may be suspended, repealed, amended, or waived by a majority vote of the board, provided that at least two full weeks advance notice has been given of the intention to consider revocation, repeal, waiver, or amendment.

SECTION 2 - Corporate Structure/Board Organization

ALPI is established as a nonprofit corporation under the laws of the State of Florida. The board of directors is established as the authority to operate ALPI in accordance with bylaws and board policies.

ALPI business will be conducted in accordance with the laws of the State of Florida, the corporation's articles of incorporation, bylaws of the corporation, board policies and generally accepted business practices that will accomplish the ALPI mission.

AUTHORITY OF THE BOARD OF DIRECTORS

Each member of the ALPI Board, together with other members of the board, is legally and morally responsible for all activities of ALPI. All members of the board share in a joint and collective authority which exists and can only be exercised when the group is in session.

BOARD MEMBER COMMITMENT

Serving as a board member of ALPI involves a very special commitment. To meet that commitment, board members are expected to:

- ▶ ensure adherence to ALPI's mission.
- ▶ attend and actively participate in all of the board's meetings, and notify the executive or board chairperson of anticipated absence.
- ▶ when absent from a meeting, review minutes and results of the missed meeting.
- ▶ do their homework to be prepared to participate fully in board and committee meetings.
- ▶ serve actively on at least one committee.
- ▶ act only with the full board, not individually unless authorized to do so by the full board.
- ▶ speak for the full board only when the full board sanctions their doing so.

BOARD DELEGATION OF POLICY INTERPRETATION TO STAFF AND PUBLIC

The Board delegates to the CEO responsibility for policy interpretation to the staff and public and for rule making, issuance of procedural directives and guides not specifically covered or detailed in the Board Policy Manual. Such interpretations, rules and directives have the force of board regulations unless and until superseded by board action.

BOARD MEMBERS RIGHTS

Members of the ALPI Board are granted certain specific rights. All board members have the right to:

- ▶ receive notice of board meetings and the agenda.
- ▶ attend and participate in board meetings.
- ▶ examine ALPI's books, records, meeting minutes, financial statements and contracts.
- ▶ place items on the board meeting agenda at the appropriate time.

BOARD MEMBERS CONFLICT OF INTEREST

Board members have a duty to subordinate personal interests to the welfare of ALPI and those we serve. Conflicting interests can be financial, personal relationships, status or power.

Board members and employees are prohibited from receiving gifts, fees, loans, or favors from suppliers, contractors, consultants, or financial agencies, which obligate or induce the board member or employee to compromise responsibilities to negotiate, inspect or audit, purchase or award contracts, with the best interest of ALPI in mind.

Board members and employees are prohibited from knowingly disclosing information about ALPI to those who do not have a need to know or whose interest may be averse to ALPI, either inside or outside ALPI. Nor may board members or employees in any way use such information to the detriment of ALPI.

Board members or employees may not have a significant financial interest in any property which ALPI purchases, or a direct or indirect interest in a supplier, contractor, consultant or other entity with which ALPI does business.

Since it is not possible to write a policy that covers all potential conflicts, board members and employees are expected to be alert for and avoid situations which might be construed as conflicts of interests.

Any possible conflict of interests on the part of any board member should be disclosed to the other board members and made a matter of record, either through an annual procedure or when the interest becomes a matter of board action.

Any board member having a conflict of interests or possible conflict of interests should not vote or use his/her personal influence on the matter, and he/she should not be counted as part of a quorum for the meeting. The minutes of the meeting should reflect that a disclosure was made, the abstention from voting and the quorum situation.

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These restrictions should not be construed as preventing the board member from briefly stating his/her position in the matter, nor from answering pertinent questions of other board members, since his or her knowledge could be of assistance to the deliberations.

All board members will be required to complete the "Conflict of Interests Statement." This policy will be reviewed by the board annually and given to each new board member for signature during orientation.

CONFLICT OF INTERESTS STATEMENT

I have read and am familiar with the ALPI board policy concerning conflict of interests, and I have initialed the line opposite the appropriate paragraph below.

___ During the past year, neither I, nor to the best of my knowledge, any member of my family has had an interest or taken any action which would contravene the policy of this board.

___ During the past year, neither I, nor to the best of my knowledge, any member of my family has had an interest or taken any action which would contravene the policy of this board, except such interest or action fully disclosed below:

Board member signature _____

Date _____

DUTY OF BOARD MEMBERS NOT TO COMPETE

A board member may not use his/her position on the ALPI Board to prevent ALPI from competing with the board member's business. It is expected that board members, even after they complete board service, will not use trade secrets, client lists, or other confidential information acquired by virtue of being a member of the board.

LEGAL OBLIGATIONS OF BOARD MEMBERS

The ALPI board is both responsible and liable for ALPI. The ALPI board and the law require every board member to follow the rule of the reasonably prudent person and the principle of good faith.

The rule of the reasonably prudent person means that the board will not:

- ▶ mismanage ALPI by deviating from fundamental management principles, such as planning carefully for the future of ALPI, regularly reviewing the financial status of ALPI, and monitoring compliance with board policies.
- ▶ fail to govern by utilizing all control systems to govern ALPI.
- ▶ be involved in self-dealing that provides personal gain to board members.

The principle of good faith means that board members will:

- ▶ attend all board and committee meetings to be a part of board actions.
- ▶ read and understand ALPI's policies and bylaws.
- ▶ pay attention to corporate affairs and keep informed about organization activities.
- ▶ ensure that ALPI is in compliance with legal requirements.
- ▶ avoid self-dealing.

ETHICAL OBLIGATIONS OF BOARD MEMBERS

The board will annually approve a code of ethics for board members. All board members will be given a copy of the code of ethics, and will be expected to adhere to the provisions of that code.

The ALPI Board Code of Ethics:

As a member of the ALPI Board, I will...

- ▶ listen carefully to my teammates, and those served by ALPI.
- ▶ respect the opinion of other board members.
- ▶ respect and support the majority decisions of the board.
- ▶ recognize that all authority is vested in the board when it meets in a legal session and not with individual board members.
- ▶ keep well-informed of developments that are relevant to issues that may come before the board.
- ▶ participate actively in board meetings and actions.
- ▶ call to the attention of the board any issues that I believe will have an adverse effect on ALPI or those we serve.
- ▶ attempt to interpret the needs of constituents to ALPI and interpret the action of ALPI to its constituents.
- ▶ refer constituent or staff complaints to the proper level on the chain of command.
- ▶ recognize that the board member's job is to ensure that ALPI is well managed, not to manage ALPI.
- ▶ vote to hire the best possible person to manage ALPI.
- ▶ represent all constituents of ALPI and not a particular geographic area or special interest groups.
- ▶ consider myself a "trustee" of ALPI and do my best to ensure that ALPI is well maintained, financially secure, growing and always operating in the best interests of constituents.
- ▶ always work to learn more about the board member's job and how to do it better.
- ▶ declare any conflict of interests between my personal life and my position on the ALPI board, and avoid voting on issues that appear to be a conflict of interests.

As a member of the ALPI Board I will not...

- ▶ be critical, in or outside of the board meeting, of other board members or their opinions.
- ▶ use ALPI or any part of ALPI for my personal advantage or the personal advantage of my friends or relatives.
- ▶ discuss the confidential proceedings of the board outside the board meeting.
- ▶ promise prior to a meeting how I will vote on any issue in the meeting.
- ▶ interfere with duties of the executive or undermine the executive's authority.

ANNUAL MEETING OF THE BOARD

There will be an annual meeting of the board (or general membership) held on January of each year or on such date designated by a vote of the board of directors.

NOMINATION AND ELECTION OF BOARD MEMBERS

It is the policy of the ALPI Board to carefully nominate and elect to the board persons who:

- ▶ believe in the cause and mission of ALPI.
- ▶ will commit completely to the board member responsibility for ALPI.
- ▶ will participate actively as part of the ALPI Board team.
- ▶ are community leaders and will advocate in the community for ALPI.

The board chairperson will periodically remind board members and the CEO to submit board candidate recommendations to be filed for use at the appropriate nomination time.

Terms of office and election procedures will be as specified in the ALPI bylaws.

VACANCIES ON THE BOARD

When vacancies occur on the board other than normal expiration of terms, the board of directors may appoint to fill the vacancies. The appointed board member may fill the position only until the expiration of the term of the person he/she replaces. The appointed board member may be eligible to be nominated for election at the next regular election if the board member meets all requirements to be a member of the board.

The process for appointment to the board will be as follows:

- ▶ The chairperson will accept recommendations from the board of directors and the CEO.
- ▶ A list of the nominees will be submitted to all board members prior to the meeting at which the board will fill the vacancies.
- ▶ Appointment to fill a vacancy will be made only by a majority vote of the board members present at an official meeting of the board.
- ▶ The board chairperson will notify the appointed persons and the successful appointee will be seated at the next regular board meeting.

REMOVAL OF BOARD MEMBERS

It is the policy of the ALPI Board to remove board members who fail to perform the expected duties of a board member. A board member may be removed from the board because of:

- ▶ negligence of board duties and responsibilities.
- ▶ failure to attend board meetings regularly.
- ▶ illegal activity as a member of the board.
- ▶ acting in any manner detrimental to ALPI.

A board member may be removed by a two-third vote of the Board for cause, at any regular meeting.

MEETING ATTENDANCE REQUIREMENT

It is the policy of ALPI board that board members must attend meetings to maintain governance continuity, to be fully informed about the issues on which they will vote, and to meet their responsibility to contribute to the decisions the board is required to make.

If a board member will be absent from all or part of any meeting, the board member is expected to contact the board secretary or the CEO as soon as the need to be absent is known.

If a board member is absent from two (2) consecutive board meetings, the board chairperson will ask the board to consider removing the board member from membership on the board.

When a board member is absent from any board meeting, the board chairperson will contact the board member and remind the board member of the meeting attendance policy.

COMPENSATION OF BOARD MEMBERS

Board members will not be compensated for service on this board.

REIMBURSEMENT OF EXPENSES

Board members may be reimbursed only for out-of-pocket expenses actually incurred and given prior authorization by a vote of the board. Claimed expenses must be documented by original receipts. No expenses will be reimbursed for friends or relatives accompanying a board member on ALPI business. No expenses will be reimbursed for non-business related travel or extension of stay beyond completion of the business for ALPI.

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Some expenses can be deemed unreasonable and unnecessary or extravagant. Such charges will be deemed personal and not reimbursable without compelling cause and at the discretion of the board.

Reimbursement of authorized out-of-pocket expenses will be according to the same reimbursement policy applied to staff as found in the ALPI Personnel Policy Manual.

DIRECTORS' AND OFFICERS' ERRORS AND OMISSIONS INSURANCE

It is the policy of ALPI to provide directors and officers liability insurance. The continuing need for such insurance will be reviewed each time the policy is due for renewal.

BOARD LEGAL COUNSEL

The board will annually designate legal counsel to serve the needs of ALPI. Legal counsel may be requested to attend board meetings by request of a majority of the board members or at the mutual agreement of the board chairperson and the executive director.

Only the board chairperson, the executive director or their designee may contact legal counsel on behalf of the board. Costs billed to ALPI and associated with individual board members contacting legal counsel, auditors or other professional consultants without specific authority from the board of directors, will be billed to the board member making the unauthorized contact.

BOARD CORRESPONDENCE

Correspondence from the board will be approved by the board or its chairperson. Except for reports which are legally required to be sent out over the secretary's or treasurer's name, all correspondence from the board will be over the chairperson's name. All correspondence from the board will be written on ALPI stationery and will be prepared by the office of the CEO. Use of ALPI letterhead will be limited to official agency business only.

No material or information disclosed in executive sessions of the board will be released to any unauthorized person.

BOARD MEMBERS SPEAKING FOR THE BOARD TO THE PUBLIC OR MEDIA

Individual board members may not speak to the public or the media on behalf of the board unless authorized by the board to do so.

When speaking about ALPI or about board action, board members should be careful to define when their remarks represent personal opinion and when their remarks represent official board position. Board members must be aware that they are always seen as board members even when they designate comments as personal.

BOARD MEMBER ORIENTATION AND DEVELOPMENT

The ALPI board believes that professional development for board members is vital to good governance of ALPI. Therefore, new board members will be given, within 30 days of election, a thorough orientation about ALPI, board operations, finance, board ethics, responsibility and liability.

The board will also include in the annual budget of ALPI a line item for board development. The line item will be used to pay for publications and materials to assist the board to learn the job, training and in-service programs oriented to board operations and travel to conferences and conventions that will assist board members to develop their governance skills.

AUTHORITY OF BOARD MEMBERS

Board members have authority only when acting as a body in regular or special meetings of the board.

The board will not be bound in any way by any statement or action by any individual board member except when such statement or action is in pursuance of an adopted board resolution or special instructions by the board, or under specified delegation of responsibility.

BOARD MEMBER MANAGEMENT OF STAFF AND PUBLIC CONCERNS

It is the policy of the ALPI Board that when a board member is contacted by a staff member or member of the general public who has a concern or complaint about ALPI or persons within ALPI, the board member will follow the following procedures:

- ▶ Remember that individual board members have no power or authority to speak or act for the full board.
- ▶ Listen to the person's concern.
- ▶ Express a desire to reach a satisfactory solution.

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- ▶ Explain that the board and management have established a process for handling concerns which starts with the person most immediately responsible. Suggest that the concern be discussed with the person immediately responsible.
- ▶ Refer complaints, other than staff complaints, to the official complaint form available in the administrative office. Refer staff to the grievance procedure.
- ▶ Assure the person that the executive will be informed of the concern.
- ▶ Ask the person to report back to you about the progress or resolution of the concern, if desired.
- ▶ Inform the CEO of the complaint or concern.

GUIDELINES FOR PROCESSING PUBLIC COMPLAINTS

From time to time situations may occur that create legitimate complaints on the part of the public or constituents relative to ALPI. Complaints must be aired so that all sides of the issue may be heard and a rational procedure/solution found.

Anyone having a complaint, therefore, is encouraged to file a complaint. Forms may be picked up at the administrative office. All complaint forms must be signed by the person originating the complaint. The nature of the complaint should be stated as well as the relief sought.

STEP BY STEP PROCESS FOR PERSONS OTHER THAN ALPI STAFF TO FILE A COMPLAINT

Each step in this procedure will give consideration to the complaint and will be a review of facts. Each individual receiving the complaint will issue a written response within a specific time period. If remedy is not achieved through the steps, the ALPI board is the final hearing body.

STEP I -- Formal Process -- The formal process begins with the person filing the complaint. He/she prepares a written statement containing his/her name, address, and telephone number; the condition, situation, or individual being complained about and why; the requested remedy. The form should be signed, dated and filed with the individual closest to the complaint.

STEP II -- If the complainant is not satisfied with the decision at the first level, he/she may present the complaint to the CEO (in writing) and expect response within (5) days from the date it was presented to the CEO.

STEP III -- If the complainant is not satisfied with the decision of the CEO, he/she may submit a copy of the complaint to the ALPI board within ten (10) days of receiving the CEO's deposition.

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STEP IV -- Within twenty (20) days, the board will have conducted a hearing, from which it has gathered enough testimony and/or other pertinent information on which to base its decision. Once able to reach a majority decision, it will do so in writing to the complainant. This decision is final.

ALPI OFFICIAL COMPLAINT FORM

PERSON FILING COMPLAINT: _____ DATE _____

WHERE YOU MAY BE REACHED: Address: _____

Phone: _____

EXPLAIN NATURE OF COMPLAINT: _____

REQUESTED REMEDY: _____

RESPONSE #1: (Level-line staff): _____

RESPONSE #2: (Level- CEO) _____

RESPONSE #3 (Level - board of directors): _____

SECTION 3 - CEO Responsibilities and Functions

In the conduct of the ongoing business of ALPI, the CEO is responsible for all business operations, including management of the assets of ALPI; hiring, training, promotion, discipline and termination of employees; and for establishing and maintaining the business organization and structure to efficiently conduct the management functions of ALPI.

The CEO plans for and administers a program providing service in accordance with ALPI's stated purpose and in such a manner that optimum results are achieved in relation to the resources of the agency, and operates under the general direction of the ALPI board of directors.

CEO COMMUNICATION/COUNSEL TO THE BOARD

The CEO will provide information and counsel to the board. Accordingly, he/she will:

- ▶ Make the board aware of special events, relevant trends, material external and internal changes and the assumptions upon which any board policy has previously been established.
- ▶ Submit required monitoring data in a timely, accurate and understandable fashion, directly addressing provisions of the board policies being monitored.
- ▶ Marshal as many staff and external points of view, issues and options as needed for fully informed board choices.
- ▶ Present information in a form that is understandable and of reasonable length.

DELEGATION TO THE CEO

The board's job is generally confined to establishing topmost policies, leaving implementation of board policy to the CEO. All board authority delegated to staff is delegated through the CEO.

The CEO is authorized to establish all further policies, make all decisions, take all actions and develop all activities which are true to the board's policies. The board will respect the CEO's choices so long as the delegation continues. This does not prevent the board from obtaining information about activities in the delegated areas.

No individual board member, officer or committee has any authority over the CEO. Information may be requested by such parties, but if such request, in the CEO's judgment, requires a material amount of staff time, it may be refused.

Acting with the authority granted above, the CEO may not perform, allow or cause to be performed any act which is unlawful, insufficient to meet commonly accepted business and professional ethics for the "prudent person" test, in violation of funding source requirements or regulatory bodies, or contrary to explicit board constraints on CEO authority.

Should a situation arise wherein the CEO deems it unwise to comply with a board policy, he/she will inform the board of directors. Informing is simply to guarantee no violation may be intentionally kept from the board. It is not for the purpose of receiving approval. Board response at that time does not exempt the CEO from subsequent board judgment of his/her action.

AREAS OF RESPONSIBILITY DELEGATED TO THE CEO

In the area of human resources the CEO relates both to the board and to the staff of ALPI, but has ultimate responsibility to the board.

For the board of directors the CEO:

- ▶ develops and recommends to the board of directors, specific, written, long and short-range plans for the development of ALPI programs and services;
- ▶ maintains appropriate relations with the board and various board committees, and keeps them informed.
- ▶ interprets trends in the fields of service in which ALPI is engaged, by maintaining involvement in the professional field as a whole.
- ▶ assists with orientation and training programs for the board.

For the ALPI staff the CEO:

- ▶ supervises and directs key staff in the performance of their duties
- ▶ evaluates the performance of key staff members
- ▶ provides overall control of and direction for the personnel of ALPI, including active participation in or approval of personnel actions
- ▶ manages volunteer staff activities.

In the area of planning, the CEO:

- ▶ evaluates the services being provided by ALPI in relation to specified goals and standards, and recommends modifications, where appropriate recommends new programs to the board.

In the area of finance, the CEO:

- ▶ prepares ALPI budgets and is accountable for control of these resources once approved.
- ▶ directs all financial operations of ALPI.

In the area of constituent relations, the CEO manages all activities including coordinating board activities in this area.

In the area of public relations, the CEO interprets the function of ALPI to the community by assisting the board, through direct involvement and through public relations programs, including personal contact, descriptive program literature, and the media.

In the area of interagency relations, the CEO:

- ▶ maintains appropriate relations with other professional and service groups in the community.
- ▶ maintains appropriate relations with federal, state, and local government units.
- ▶ maintains appropriate relations with other agencies in similar fields of service.

In the area of ALPI organizational operations, the CEO:

- ▶ recommends policies to the board and/or assists the board, in the formulation of policies for the effective and economical operation of ALPI and its programs.
- ▶ ensures implementation of the policies adopted by the board.
- ▶ has chief administrative responsibility for maintenance of agency facilities, and regular reporting to various bodies.
- ▶ carries chief staff responsibility to ensure that legal obligations of ALPI are met.

MONITORING CEO PERFORMANCE

Monitoring CEO performance is somewhat synonymous with monitoring organizational performance. The board delegates management to the CEO and must have a process for ongoing monitoring of the CEO's performance of the delegated duties. The purpose of monitoring is to determine the degree to which board policies are being fulfilled.

The board will monitor CEO performance by awareness of the CEO's job description, careful attention to all reports delivered to the board and through an annual written evaluation of the CEO's job performance.

CEO PERFORMANCE EVALUATION

It is the policy of ALPI to regularly evaluate the work performance of the CEO.

The evaluation will be given at the board meeting so that all board members participating in the evaluation will have had a full year of interacting with and observing the CEO's performance.

Any annual increase for the CEO will be determined after completion of the annual performance evaluation.

Although the evaluation will be facilitated by the board chairperson, the entire board will participate in the evaluation process.

The process begins with a review of the current job description to determine accuracy and appropriateness. The team next develops an evaluation checklist based upon the job description and organization objectives. Respondents will be asked to rate the director's performance against each line item on the checklist as follows:

- _____ very good
- _____ acceptable
- _____ needs improvement

Space should be allowed on the checklist at each line item for comments.

The team mails the checklist to all board members with a self-addressed stamped envelope so that all evaluations are returned to the home or business address of the board chairperson. A request is sent with the evaluation form to complete within ten days. Respondents have the option of signing or not signing their evaluation forms. Constructive criticism from board members should be specific so that appropriate corrective action may be taken by the CEO.

A copy of the evaluation checklist is also mailed to the CEO with the request to complete a self-evaluation and recommend performance objectives for the upcoming year. The form completed by the CEO will not be included in the board's compilation of results.

When the board members have returned the evaluation forms, the chairperson of the board makes up a composite checklist which, by line item, indicates the number of responses for each rating. All comments are randomly listed without identifying the source of each comment.

Next, the full board meets, without the CEO present, to review the composite evaluation and performance objectives for the upcoming year. The board must reach consensus on each item in the checklist.

Then the full board chairperson meets with the CEO to present the full board's conclusions about the evaluation. Should the CEO be in serious disagreement with part or all of the evaluation, the right to respond to the full board must be available. Such a response should lead to a dialogue in which the problem area can be resolved in a candid and professional way.

The final agreed-upon evaluation should be signed by both the CEO and the board chairperson. A copy of the evaluation is given to the CEO, and the original evaluation is kept on file by the board chairperson to be passed on to the next board chairperson. A copy of the evaluation is not kept in the personnel office.

Board members will not solicit information regarding the CEO's performance from subordinate staff. Staff play no role in the evaluation. The board recognizes that including staff can seriously erode the relationship which must exist between the CEO and staff.

BOARD/CEO RELATIONSHIP

The board of directors recognizes and maintains the following guidelines in the board's relationship with the CEO:

- ▶ Good management is recognized as one of the key factors in the success of the organization. The board reserves the authority to establish policies, approve plans, and programs and delegate authority to the CEO.
- ▶ The board will approve policies and long-range plans and programs for ALPI, and delegate authority to the CEO to execute and carry out the policies, plans and programs. The CEO will be responsible for hiring capable personnel within the limitations of board policy and budget constraints, determining the appropriate compensation, training, supervising, disciplining and terminating if necessary.
- ▶ Board members will refrain from individually discussing management and personnel issues with ALPI personnel other than the CEO. The board, in consultation with the CEO, may confer with key personnel at regular or special meetings of the board.
- ▶ Authority for management of ALPI will be through the board of directors to the CEO, then to other personnel. The board will require full and timely information from the CEO concerning pertinent matters that relate to the management of ALPI.
- ▶ The board recognizes that efficient management of ALPI can exist only through mutual understanding and cooperation between the board and the CEO. The board also recognizes that the CEO is accountable to the board to show results, but the CEO cannot perform well and show good results if not given latitude to exercise independent judgment in executing board policy. Therefore, the board grants that latitude of judgment and discretion and expects full accounting of performance from the CEO.
- ▶ The board recognizes its position as the employer of the CEO and will be responsible for a systematic annual evaluation of the CEO's performance. The evaluation will be for the purpose of improving the CEO's performance -and to provide a basis for consideration of the CEO's salary for the next year.
- ▶ The CEO's employment with ALPI may be terminated for cause upon written notice to the CEO and in accordance with the board/CEO contract in effect.

SECTION 4 - Board Meetings

CONDUCT OF MEETINGS

So meetings may be conducted in the most orderly manner, discussion of agenda items will be limited to communications among board members, between the board and the CEO, and among the board, CEO and those the board and CEO request to make presentations.

BOARD CALENDAR

A calendar will be established by the board annually at the beginning of the board year. The calendar will list dates and locations of the bi-monthly meetings.

REGULAR MEETINGS

Regular meetings of the board will be held bi-monthly. So that board members can schedule for the meetings well in advance, the specific dates will be established for the full year at the board's orientation meeting each year. The board will make every effort to maintain those dates as board meeting dates.

SPECIAL MEETINGS

Special meetings of the board should be called only rarely when the business to be addressed cannot wait until the next regularly scheduled meeting. A special meeting of the board may be called by the Chairperson of the board or by any three board members. A call for a special meeting will state the business to be addressed by the board at the special meeting. Every member of the board must be notified of the special meeting at least three days prior to the established meeting time.

ABSENCE FROM MEETINGS

When a board member is absent from two consecutive regular meetings and is not excused by the board, the board may declare the office of the member vacant after the third absence.

OPEN BOARD MEETINGS

All Board Meetings shall be open to the public.

CLOSED MEETINGS

All regular meetings of the board will be open to (members, public) except as specified below. The board will close its meetings only when:

- ▶ discussion by the board could harm the reputation and character of any person.
- ▶ information discussed by the board could have an adverse legal impact on the organization's legal position if the information were public knowledge.
- ▶ information discussed by the board could have an adverse financial impact on the organization if the information were public knowledge.

To close a meeting, a motion must be made and approved by a majority of the board stating the specific reasons for closing the meeting. Business conducted in the closed session must pertain directly to the stated purpose for closing the meeting.

MEETING AGENDA PACKET

All matters to be considered by the board at the meeting will be included on the consent agenda and/or the general agenda in the board packets delivered to board members at least five days prior to the meeting. The board may vote to waive this requirement to discuss only items on the published agendas by a majority vote of the board.

Meeting agendas will be developed by the CEO and approved by the board chairperson prior to distribution to other board members.

All board members will have an opportunity to request items be placed on the consent agenda and/or general agenda prior to the agendas being published and distributed.

The agendas may be amended after the meeting is convened only in cases where immediate action on the item is necessary, or when the item is for board information, and only by consensus of a majority of the board members. A board member or the CEO may request changes to the agendas during the item on the agendas that asks the board to approve the agendas.

The ALPI board meeting agendas will approximate the following outline:

- ▶ Call to order by the board chairperson or other presiding officer and determination of a quorum
- ▶ Approval of agenda
- ▶ Consideration, correction and approval of minutes of the previous meeting Public forum or member forum
- ▶ Consideration and acceptance of the financial report
- ▶ CEO's Report
- ▶ Standing committee reports and recommendations for board action
- ▶ Special committee/task force reports and recommendation for board action

- ▶ Unfinished business
- ▶ New business
- ▶ Adjournment

MEETINGS BY CONFERENCE CALL

It is not the practice of the ALPI Board to hold meetings by conference telephone calls. However, emergency situations may dictate that some board members cannot attend the meeting in person, but may attend via telephone conference call. In those cases, any or all of the board members may participate in the meeting, by conference telephone.

All board meetings in which one or more of the board members are participating by telephone will be conducted under the following rules:

- ▶ All board members participating in the meeting must be able to hear each other.
- ▶ All rules for calling meetings and notification of board members as spelled out 'in other sections of this policy manual will apply.
- ▶ All rules for conduct of meetings, including role call and quorum, will be followed.
- ▶ Minutes of the meeting will be kept. Minutes will be reviewed and adopted by the board at the next regularly scheduled board meeting.

STAFF ATTENDANCE AT BOARD MEETINGS

Since it is the policy of the ALPI board to hold our CEO accountable for all management of ALPI, it is left to the CEO to invite any staff to the board meeting that the CEO needs as resource for issues the board will consider during the meeting.

PUBLIC COMMENT

The general meeting agenda, except special meetings of the board, will include an item that is allocated no more than 2 minutes and labeled "Public Comments." All persons, other than board members, wishing to speak will, prior to the meeting, complete a comment card, like the one shown below, listing the nature of the comment and the speaker's name. The card will be handed to the board chairperson. Procedures for the public comment will follow the outline on the form below.

PUBLIC COMMENTS FOR ALPI BOARD AND REQUEST TO BE HEARD

The ALPI Board welcomes you to this meeting. We conduct our meetings in strict compliance with the state open meetings law. That law requires that our board meetings be open for public observation, but it does not require that the public be allowed to participate in the meetings.

However, we value the ideas and insights of others. Therefore, it is the policy of this board to allow 2 minutes of each meeting for public comment. If you wish to speak to this board during this section of our agenda, please complete the comment card and hand it to one of the designees before the meeting. Only persons who have completed the comment card and given it to a designee prior to the convening of the meeting will be allowed to speak.

When the board reaches the "Public Comment" section of the agenda, the board chairperson will allow 2 minutes for individuals to speak to the board.

Do not expect the board to respond at this meeting to your questions or requests for information or requests for action. The board will note your request and respond at a later appropriate time after board members have an opportunity to deliberate about the request.

At other times during this meeting, board members may wish to ask for information from persons in the audience, but please refrain from comment unless the board asks you to comment. Board members are always anxious to hear from constituents outside the meeting, but our meeting agenda is usually full and does not allow us time for a continuous open forum. Thanks for helping us conduct an open and orderly meeting.

REQUEST TO SPEAK TO THE ALPI BOARD DURING PUBLIC COMMENTS

This Comment Card must be completed and handed to a designee before the meeting if you wish to speak to the ALPI Board during the "Public Comment" section of the meeting agenda. The Public Comments will be conducted according to the format explained above.

Name: _____

Group/Organization you represent, if any: _____

Subject: _____

QUORUM

A quorum of the board shall consist of at least one-half plus one of the seated membership.

VOTING

The vote of a majority of the votes entitled to be cast by the members present at a meeting at which a quorum is present is necessary for the adoption of any matter voted on by the members.

Voting to elect officers of the board will be by secret ballot.

A board member who is present at a meeting of the board at which action is taken on any corporate matter, will be presumed to have concurred in the action taken unless the dissent of the board member is entered in the minutes of the meeting. Such dissent will be indicated by a simple "no" vote on the action.

A board member who is absent from a meeting of the board at which action is taken will be presumed to have concurred in the action unless the trustee will file a written dissent with the secretary of the board within a reasonable time after learning of the action.

DISQUALIFICATION FOR VOTING

No member of the ALPI board may vote on any matter 'in which the board member has a direct or indirect financial interest .

No member of the board nor any employee of ALPI will have proprietary business dealings with ALPI which directly or indirectly results in gain or profit to such board member or employee unless he/she first files a sworn statement with the chairperson of the board of the intent to have such business dealings, and states therein the nature, type, and extent of the transaction and interest of the board member. Remaining board members must, by majority vote, give approval.

MINUTES OF THE BOARD MEETINGS

Records of all actions of the board will be set forth in the minutes of the meeting. Minutes will be kept on file as the official record of the ALPI board.

The office of Secretary of the Board will be custodian of the minutes. Minutes will be recorded in writing during each meeting by the board's secretary or as needed by a member of the ALPI clerical staff or by a volunteer,

Minutes of the meeting are a record of the actions of the board, not a record of discussion. Minutes of ALPI board meetings will include:

- ▶ the date, time and place the meeting was called to order.
- ▶ the type of meeting--regular, special or continued.
- ▶ the name of the presiding officer.
- ▶ a statement that a quorum was or was not present.
- ▶ the names of those board members present and the names of those board members absent from the meeting.
- ▶ the exact wording of all motions, whether passed or failed. disposition of each motion made--passed or failed. (If the vote is by roll call, each board member's vote will be recorded by name. When a ballot vote is taken, the number voting for and the number voting against will be recorded. No views, protests or explanations from board members about the vote will be recorded in the minutes unless the full board votes to allow such entries.)
- ▶ notation of each committee report
- ▶ notation that financial reports were examined by the board.
- ▶ notation of time of adjournment of the meeting.

Committee reports or resolutions may be attached to the minutes if these items are important clarification for the minutes of the meeting.

ELECTRONIC RECORDING OF THE MEETINGS

To ensure free discussion and debate at meetings of the board, no electronic recording devices may be used by individual board members, CEO or anyone else attending the meetings.

PARLIAMENTARIAN AUTHORITY

Meetings of the ALPI Board will be governed by the parliamentary rules as outlined in Robert's Rules Newly Revised in all cases where current bylaws and current board policies do not apply.

SECTION 5 - Organizational Finance

FISCAL YEAR

The ALPI fiscal year will be the first day of July to the last day of June.

FINANCIAL MANAGEMENT

Financial resources of ALPI are the responsibility of the board of directors. The board will:

- ▶ have a clear plan for acquisition of financial resources to pay for the programs and services provided by ALPI.
- ▶ provide guidelines for management and allocation of financial resources which will produce optimum benefit for those we serve.
- ▶ monitor and evaluate the financial plans and guidelines of ALPI to ensure the financial integrity of ALPI.

BUDGETING

An annual operating budget will be prepared by the CEO and presented to the board for approval at least 60 days prior to the beginning of the next fiscal year. The budget will reflect the cost of carrying out the programs and services of ALPI for the next fiscal year. This budget will also reflect the anticipated revenues of ALPI.

The budget will be viewed by the board as their financial plan for ALPI, and approval of the budget by the board will be authority for the CEO to manage ALPI's finances according to the plan without seeking further approval of the board. However, the CEO will keep the board well informed of the ongoing status of the financial plan, and will not make expenditures outside of the budget plan without seeking board approval to amend the budget. Amendments to the budget will be presented to the board for approval for any of the following reasons:

- ▶ ALPI enters into compacts or contracts that were not included in the approved budget.
- ▶ Management proposes a major expenditure that was not included in the approved budget.
- ▶ Significant unanticipated revenues are received or cost overruns occur.

WORKING CAPITAL RESERVES

A working capital reserve sufficient to keep ALPI operating for at least a 60-day period will be maintained at all times.

ACCOUNTING

The accounting system used by ALPI will utilize generally accepted accounting practices that are required and/or recommended by regulatory or lending agencies and the ALPI auditor.

The accounting practices and procedures used by ALPI will allow for adequate management of ALPI's revenues and expenses, and will provide adequate systems of monitoring by the board of directors as well as outside auditors.

FINANCIAL REPORTS AND AUDITS

Reports reflecting the financial condition of ALPI will be presented to the board monthly. These financial reports will include:

- ▶ at least quarterly status of expenditures on major capital projects.
- ▶ monthly statement of cash flow.
- ▶ monthly revenue and expense statement for the month and year-to-date with comparison to the budget.

An internal audit process will be established and maintained. The CEO will report, at least quarterly, any significant findings to the board. Gross violations or breach of trust will be reported to the board immediately upon discovery.

An annual audit of ALPI's finances will be conducted by an independent auditor appointed by the board. The scope of those audits will be determined from time to time by the board.

The board will annually approve an accounting firm to do the audit, and the contract for audit will be formally bid at least once every five years.

The CEO will solicit bids for the audit from two or more qualified firms, and will recommend to the board a firm to perform the audit. The board's selection will be based on consideration of cost, professional qualifications, reputation and relevant experience.

SIGNING CHECKS

Authorized signatories for all general fund accounts must include two of the following: the chairperson of the board, the treasurer of the board, other board members designated as signatories by the board, the CEO.

The Board may authorize the use of an automatic signature stamp for checks. The signature stamp will contain the facsimile signatures of two authorized signatories.

It is the responsibility of the CEO to ensure that signatures can be gained from appropriate signatories so that payment can be made on obligations of ALPI. It is also the responsibility of the CEO to ensure that adequate controls and safeguards have been established to ensure disbursement of funds only for proper purposes.

It is the responsibility of all check signers to ensure that there is adequate documentation, consistent with good internal controls, for valid payment of checks they sign.

USE OF CREDIT CARDS

Corporate credit cards will be provided to designated travelers by the CEO for the sole purpose of conducting official corporate business.

No personal items and/or expenses are to be billed to any Agency (directly billed) corporate credit card (i.e. Telephone, Gas, American Express, etc).

Each traveler and/or employee issued a corporate credit card will be required to read and sign a copy of the Corporate Credit Card Usage Authorization Form with a copy forwarded to the Budget and Finance Director for reference and payment certification.

INVESTMENT PRACTICES

Funds not required for current operations will be invested according to an investment plan approved and revised annually by the board.

Investments must be government-secured and guaranteed.

Investments may be made at the discretion of the CEO within the plan adopted by the board, with the exception of any investments in securities with a maturity of more than one year which must have the prior approval of the board.

The CEO will present reports to the board at least quarterly which show the status of all investments, including the rate of return and current market value.

CEO LIMITATION

The CEO may not risk financial losses to ALPI beyond those that may occur in the normal course of business. The CEO will:

- ▶ ensure against embezzlement, casualty losses to full replacement value, and against liability losses (to board members, organization or staff) beyond the minimally acceptable prudent level.
- ▶ ensure that all personnel with access to significant amounts of ALPI money are appropriately bonded.
- ▶ ensure that facilities and equipment are properly maintained.
- ▶ limit exposure of ALPI, the board or staff to claims of liability.
- ▶ disburse funds only under controls sufficient to meet the board-appointed auditor's standards.
- ▶ invest operating capital only in secure short-term investments.
- ▶ ensure off-site backup of all computer and other financial records necessary for uninterrupted operation of ALPI.

PURCHASE ORDERS

Staff purchases of supplies and materials will be made only with a properly authorized purchase order signed by the CEO or a member of the management staff authorized by the CEO to sign purchase orders

SPENDING AUTHORIZATIONS

The CEO may make expenditures consistent with the board-approved budget without further board approval. However, expenditures that are not within the board approved budget must be formally approved by the board of directors.

A list of anticipated major capital expenditures should be included with the annual budget that is submitted to the board for approval.

Unbudgeted emergency repairs to the physical plant or equipment that must be completed immediately, and cannot be practically submitted to the board for approval, may be authorized by the CEO. The board of directors will be informed of the expenditures as soon as possible.

INSURANCE BONDING PROTECTION OF ALPI

The CEO will recommend to the board all necessary bonding of staff members who handle ALPI funds and recommend to the board any appropriate insurance protection to protect the finances of ALPI.

CHARITABLE DONATIONS BY ALPI

Because of the nature of the mission of this organization, ALPI does not make charitable contributions.

BAD DEBTS OWED TO ALPI

If the total receivable from any one individual or organization is \$100 or less, the CEO may authorize the debt to be written off if he/she believes the debt is uncollectible.

Write-offs of debts over \$100 which the CEO believes are uncollectible may be authorized only by a vote of the ALPI board of directors.

Delinquent accounts may be assigned for collection to either legal counsel or a collection agency, or taken to small claims court as the CEO deems appropriate. Collection efforts will continue even after writeoff until actually collected or the attorney, collection agency or small claims court deems further efforts will be futile or not cost-effective.

SECTION 6 - Employment Policies

CHAIN OF COMMAND

The ALPI board believes strongly in the chain of command:



The board is concerned about the needs and success of staff, and will work through the chain of command to facilitate the success of all ALPI staff.

The board expects all staff to respect and follow the chain of command when registering complaints, making suggestions and in any other way communicating with the board about the business of the organization. Staff members who take complaints, requests, criticism or other organization business directly to the board or individual board members without working through the CEO will be considered insubordinate and subject to disciplinary measures by the CEO.

The board expects all board members to respect and follow the chain of command when communicating with staff about the business of the organization. Board members will not take complaints, suggestions, requests or demands to the staff except through the CEO. When a board member receives a complaint or suggestion from a staff member other than the CEO, the board member will remind the staff member of this board's policy about following the chain of command. The board member will also report the staff communication to the CEO.

EMPLOYEE GRIEVANCE PROCEDURE

The objective of this policy is to promptly and harmoniously resolve grievances, and to facilitate communication among ALPI employees. This policy applies to all regular employees. This policy is part of the ALPI Personnel Policies Manual, but it is also included here in the Board Policy Manual to make it clear to all board members that they can refer employees to the grievance procedure, and that the board is not involved in the grievance procedure.

The definition of a grievance is: "A dispute by an employee that involves questions of interpretation or application of wages, hours, terms and conditions of employment or disciplinary actions. Probationary employees may not grieve termination from their positions."

The employee grievance process will follow these steps...

Step 1: The employee will present the grievance verbally to his/her immediate superior within five working days of the alleged violation or the date the employee becomes aware of the alleged violation, whichever is later. The superior receiving the complaint will attempt to resolve and implement the resolution and respond to the employee in writing no later than five working days from the date the employee brought the complaint.

Step 2: If the grievance is not resolved in step 1, the employee may submit a written grievance to the CEO within five working days of the date the response from step one was due or received ' whichever comes first. The CEO will have five working days from receipt of the written step 2 grievance to investigate the matter and respond in writing to the grievant.

The CEO's written response will be the final disposition of the grievance. Staff grievances may not be appealed to the ALPI board of directors.

PERSONNEL POLICIES

Appropriate and complete personnel policies will be adopted by the CEO and reviewed by legal counsel for accuracy and completeness. The CEO will report to the board that this has been done, and will report annually that all personnel policies have been reviewed and updated.

Personnel policies are published in a separate Personnel Policy Manual. All employees will be given a copy of the most recent and updated Personnel Policy Manual, and will sign acknowledgment of such receipt.

Implementation and administration of all personnel policies are the responsibility of CEO.

PROFESSIONAL MEMBERSHIPS

The board recognizes the importance of employees staying current in fields related to their employment and the importance of maintaining professional status. Therefore, ALPI may pay for the cost of professional memberships for employees within the limits of the budget and provided such membership is in the best interest of ALPI.

ALPI may also pay the cost for employees to attend meetings related to their professional memberships if the meeting is judged to be in the best interest of ALPI.

Requests for reimbursement must be made to the CEO and be given prior approval by the CEO.

NEPOTISM

Board members and members of their immediate families may not be employed by ALPI, except by vote of the board. Members of the immediate family of the CEO may not be employed by ALPI without a vote of the board.

The term "immediate family" as used above is defined as the relationship of:

- husband and wife;
- father, mother, son or daughter;
- father-in-law, mother-in-law, sister, sister-in-law, brother, brother-in-law
- grandmother, grandfather, aunt, uncle, niece and nephew.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION

All employment decisions and personnel actions will be administered with the purpose of promoting and ensuring equal opportunity for all persons. All promotional opportunities will be publicized by one of the following means:

- 1) Positions covered by labor agreements--by formal vacancy posting, bid evaluation, and awarded in accordance with the terms of the appropriate agreements.
- 4) Management and secretarial positions--by bulletin board notification to employees of the vacancy, inviting submission of a written summary of qualifications for supervisor's consideration. In the absence of qualified in-house applicants, the position may be filled from sources outside ALPI.

All hiring and promotional decisions will be made on the basis of valid, written job requirements set forth in the appropriate position description or vacancy posting.

All ALPI social and recreational programs will be administered on a non-discriminatory basis.

SEXUAL HARASSMENT

Sexual harassment undermines the integrity of the work environment and will not be tolerated within the ALPI Organization. Sexual harassment may include words as well as acts, sexual advances, offensive touching and offensive or derogatory sexual comments. All such conduct is forbidden particularly when:

- submission to such conduct is explicitly or implicitly made a condition of employment.
- submission to or rejection of such conduct by an individual is used as a basis of employment decisions affecting the individual.
- such conduct has the purpose or effect of substantially interfering with an individual's work performance, or creating an intimidating, hostile or offensive

work environment.

Employment Policies 4

Any person who believes that he or she has been subject to sexual harassment by a supervisor, fellow employee, board member, or any person calling upon the organization, should contact his/her supervisor or the CEO. If the person believes the CEO is the cause for a sexual harassment complaint, the complaint should be directed to the chairperson of the ALPI board. All sexual harassment complaints will be promptly investigated. Where harassment is found to exist, immediate corrective action will be taken.

SMOKING ON ALPI PREMISES

Smoking and the use of tobacco is allowed within all ALPI designated areas.

ALPI will assist smokers wishing to quit smoking. Several options in this regard will be available to smokers through the human resources department. Those smokers wishing assistance in quitting smoking should contact the human resources department.

DRUG-FREE WORKPLACE

Employees are ALPI's most valuable resource, and for that reason their health and safety are of paramount concern.

The manufacture, distribution, possession or use of alcohol or controlled substances, including amphetamines, barbiturates, heroin or opiate derivatives, or hallucinogens, while on the job or on ALPI property will result in disciplinary action.

Alcohol is prohibited on ALPI property and in ALPI operations, and will not be allowed at any event or function hosted by ALPI. No officer or employee of ALPI is authorized to provide or use alcoholic beverages on behalf of ALPI at any location. ALPI funds may not be used to purchase alcoholic beverages.

The legal use of drugs or controlled substances which are prescribed by a licensed physician is not prohibited, but employees in positions where such drug usage may affect the safety of themselves or others are required to make such use known to an appropriate ALPI supervisor. Minimally, this obligation applies to employees operating ALPI vehicles and employees using equipment which, if improperly used, may result in personal injury or property damage.

Any physical examination that ALPI requires may include testing for drug or alcohol use and abuse. Further, if ALPI has probable suspicion to believe that an employee is using or is under the influence of controlled substances or alcohol, the employee must submit to testing. If the employee refuses to submit to the testing or sign the consent form to allow such testing, it will constitute a presumption that the employee is under the influence of alcohol or drugs. Refusal to consent and cooperate in the drug testing will be grounds for immediate discipline.

Law enforcement officials will be notified whenever illegal drugs are found in the workplace, and ALPI will fully assist in any resulting investigation and prosecution.

Whenever possible, ALPI will assist employees in overcoming drug, alcoholism and other problems which may adversely affect employee job performance, but ALPI will not tolerate drug usage that may affect the safety of its work force or others.

SAFETY AND LOSS CONTROL

The State of Florida has a compelling interest in protecting the public from sexual predators and in protecting children from predatory activity. The Florida Legislature has passed "The Florida Sexual Predator Act" which prohibits a sexual predator from working with children either for compensation or as a volunteer. The Agency will follow the pleadings of the Florida Sexual Predator Act.

ALPI is committed to maintaining safety in its operations, on its property and in the delivery of programs and services.

The CEO will provide for and actively promote ongoing safety and loss control training for all employees. The CEO will institute procedures, where necessary, to ensure the safety of the work environment, and will provide appropriate equipment to employees sufficient for the performance of their duties.

Accidents and losses due to accidents will be reported to the board monthly.

When necessary, the CEO will review safety concerns and risk management plans with legal council to ensure legal compliance.

REFERENCES FOR EMPLOYEES LEAVING

It is the policy of ALPI Board that no employee or board member of ALPI will provide performance references for/about former employees.

When requests for such references are received, with appropriate releases from the former employee, they will be referred to the CEO of ALPI. The CEO will provide the requesting party only the dates of employment for the former employee, and a copy of this policy statement.

SECTION 7 - Board Officers

Officers of the board will be a chairperson, vice-chairperson, secretary and treasurer elected by a majority vote (50% plus one) of the board.

The chairperson of the board will collaborate with the CEO to prepare board meeting agendas, preside at board meetings, appoint committees and committee chairpersons, sign official documents requiring signature, and may represent the board in public and official capacities as instructed by the board. The chairperson will also:

- ▶ chair the Executive Committee.
- ▶ make special assignments and appoint representatives to other organizations.
- ▶ act as liaison between board and CEO.
- ▶ encourage the board to do long-range planning.
- ▶ assist board members to build their board skills.
- ▶ act to discipline board members who violate ethical standards of the board.
- ▶ encourage all board members to participate in board activities.
- ▶ ensure that all board members' views are represented in board meetings.

The vice-chairperson will preside at board meetings in the absence of the chairperson and assume the office of the chairperson when the board determines that the chairperson can no longer serve. The vice-chairperson will also:

- ▶ serve on the Executive Committee.
- ▶ work with the chairperson to be prepared to assume that office if necessary.
- ▶ manage special assignments as requested by the board chairperson.

The secretary will oversee the records of the board, including meeting minutes, the charter and any historical documents. When required, the secretary will also sign notes, contracts and other official agreements on behalf of ALPI and at the direction of the board. The secretary will also:

- ▶ ensure that all official documents are safely passed to the next secretary.
- ▶ research ALPI records when necessary for information for the board.

The treasurer will oversee but not manage the financial records of ALPI, and ensure that the board regularly receives good reports of the financial condition of ALPI. The treasurer will also:

- ▶ assist the board to understand the annual budget before approval.
- ▶ arrange in-service programs for the board so board members will be better able to understand the financial reporting process.
- ▶ ensure that the board arranges for an annual audit of the ALPI books.

OFFICERS' ELECTION PROCESS

Officers will be elected immediately after the annual meeting of the board when new or reelected board members are confirmed. The board of directors will follow the following procedures in electing its officers:

- ▶ Election will be by secret ballot at a meeting at which a quorum of board members is present.
- ▶ The board will meet to elect its officers at the first meeting following the annual installation of new board members.
- ▶ Only board members present for elections will be allowed to vote for officers. There will be no "absentee ballots," or telecommunications voting.
- ▶ Officer candidates must have consented to seek office before their name is placed in nomination.
- ▶ Nominations will be open for any eligible candidate who has given prior consent.
- ▶ Board members will encourage candidates to disclose their interest in the office.
- ▶ All voting will be done using paper ballots.
- ▶ A systematic elimination process will be used in voting, i.e. if 5 candidates, vote for 3 and take top 3, vote for 2, take top 2 and then vote for 1.

TERMS OF OFFICE

Terms of all officers will be for two years. Only properly elected or appointed members of the board may serve as officers of the board. Each officer may be succeed themselves.

OFFICER AUTHORITY

Officers of the board are elected to be servant-leaders of the board. All authority of the officers is delegated to them by the board of directors. No officers will have any authority to speak or act on behalf of the board other than that authority specifically granted in the ALPI bylaws, in board policy or by majority vote of the board of directors.

VACANCIES OF OFFICERS' POSITIONS

If a vacancy occurs in any elected office because of resignation, death, ineligibility to hold office, or formal removal of an officer by the board, the board may by election by a majority fill that office at a duly held meeting.

If the vacancy occurs in the chairperson's office, the vice-chairperson will assume the office as soon as the board of directors declares the position vacant. The vice-chairperson will hold the office of chairperson until the board elects a new chairperson.

A vacancy is filled in the prescribed manner of election of officers in this policy.

REMOVAL OF OFFICERS

The ALPI board has the right to remove any officer from that elected position by the same authority that elected the officers. Officers may be removed from office for:

- ▶ gross or willful neglect of the duties of the office.
- ▶ misuse of ALPI funds.
- ▶ conviction of a felony.
- ▶ intentional lack of public support for the ALPI mission, staff or programs.
- ▶ failure to inform the board about issues that might impact board decisions.

Procedure for removal of any officer from office will be a simple majority vote of the board.

SECTION 8 - Committees of the Board

The board may establish or abolish standing or special committees as necessary.

COMMITTEE PURPOSE

It will be the purpose of any committee appointed by the ALPI board to assist the board of directors to govern more efficiently. A board committee is not designed to do staff work. Committees will be used to investigate, deliberate and analyze special issues on behalf of the board.

COMMITTEE AUTHORITY

Any committee established by the board will have only the powers specifically delegated to it by the board. Functions of each committee will be in writing as part of board policy or recorded in the minutes of the meeting at which the committee was established.

COMMITTEE ACCOUNTABILITY

Committees are a subsidiary of the board, and will be expected to report their work to the full board on a regular basis. Each committee will be expected to make recommendations to the board for action, such recommendations to be made by a member of the committee in the form of a motion at a full board meeting.

The ALPI board will annually review the work of each committee and determine which committees will be reappointed and which committees will be abandoned as no longer necessary.

APPOINTMENT OF COMMITTEES

The chairperson of the board will appoint the chairperson of each committee and all committee members, taking into consideration the preference of the board members for committee assignment. Board members will be polled as to their committee preference.

Non-board members may also be appointed as committee members. In appointing non-board committee members, it will be determined which board areas will need board candidates in future years. An effort will then be made to appoint non-board members from these areas as a means of leadership development. Board candidate recommendation forms may be utilized in this process.

EX OFFICIO COMMITTEE MEMBERS

The chairperson of the board will be an ex-officio member of all committees, but will only vote on the committee to which he/she is assigned. The CEO or the CEO's delegated representative will be a nonvoting member of all committees as resource to the committee.

DUTIES OF COMMITTEE MEMBERS

Duties of the members of individual board committees will vary, but certain basic committee member responsibilities remain the same for all committees. Those responsibilities include:

- ▶ Attend all meetings of the committee to which the board member is assigned.
- ▶ Prepare for committee meetings by studying the agenda and researching issues to be discussed at committee meetings.
- ▶ Actively participate in discussions at committee meetings.
- ▶ Follow through promptly on any assignments for the committee.
- ▶ Support committee recommendations before the full board.

COMMITTEE MEETINGS

The committee chairperson will convene all meetings of the committee or a majority of the committee members may call a committee meeting. Meeting dates will be coordinated with the CEO to avoid conflict and to ensure completion of staff support and research for the committee.

Minutes will be kept of committee meetings. Committees will submit a written summary of committee actions and recommendations to the board in the board meeting packet for the meeting at which committee recommendations will be considered.

GUIDELINES FOR COMMITTEE CHAIRPERSON

The committee chairperson will be expected to lead the committee just as the board chairperson is expected to lead the board. The committee chairperson is accountable for ensuring the productivity of the committee by:

- ▶ planning the agenda for the committee meetings.
- ▶ ensuring that all members of the committee are notified of committee meetings.
- ▶ convening committee meetings, and keeping meetings on track.
- ▶ appointing a member of the committee to keep a written record of committee actions.
- ▶ encouraging the committee to take action on the issues discussed by the committee.

- ▶ ensuring that reports and recommendations for action from the committee are presented to the full board.
- ▶ leading the committee to evaluate its own operations.

EXECUTIVE COMMITTEE

The Executive Committee will consist of the officers of the ALPI board. This committee will meet as necessary to prepare issues to be presented to the full board and/or to make emergency decisions on behalf of the board when it is not possible to assemble a quorum of the board. This committee will have no power other than emergency action or other powers as may be delegated to it by the full ALPI board from time to time.

RETIREMENT COMMITTEE

The Retirement Committee shall serve as the Retirement Plan Administrator of the organization's retirement plan. The Retirement Committee shall consist of the Executive Committee of the Board.

SECTION 9 - ALPI Facilities

The board recognizes the need by the community for adequate spaces for meetings and programs of various groups and organizations, and the responsibility of ALPI as a good corporate citizen to help meet this need. Therefore, it is the policy of the ALPI board to allow limited use of ALPI facilities by community organizations and groups.

CONFLICT OF USAGE

Individuals, groups or organizations may be given permission to use ALPI meeting rooms for indefinite or extended periods of time or on a regular schedule, such as a specific date or dates in each week or month. This will be reviewed annually. Such permission may be granted by the CEO.

Requests for use of ALPI facilities for other than ALPI business will not be granted until it is clear that such use will in no way hinder the full use by ALPI. A calendar of approved requests will be maintained to avoid scheduling conflicts.

ACCOUNTABILITY FOR PROPER AND SAFE USAGE

Requests must be made in writing by one person, representing a group or organization, who will be obligated to ALPI for the safe and proper use of ALPI facilities.

Individuals belonging to a group whose request is approved will be required to comply with the security procedures which are established by ALPI when using ALPI facilities.

A record will be maintained of each request received showing the name of the individual, group or organization requesting use of ALPI facilities, the date and hours of use.

ELIGIBILITY OF USERS

The board, through the provisions of this policy, authorizes the use of ALPI facilities as outlined below:

- ▶ Individuals may request the use of facilities for and on behalf of a group or organization, but may not use any facilities for private use.
- ▶ Groups and organizations such as the following may be granted use of ALPI facilities:
 - civic clubs--Lions, Rotary, Kiwanis
 - community organizations--Red Cross, United Way, Boy Scouts, Girl Scouts
 - educational organizations--school boards, community college
- ▶ ALPI facilities will not be used by persons, groups or organizations for purely commercial or social purposes, political party activities or any private or public activity that will be considered controversial in the judgment of the CEO.

ACCESSIBILITY OF FACILITIES

It is the policy of ALPI Board that all facilities will be physically accessible according to the guidelines of the Americans With Disabilities Act (ADA). The executive will annually review the facilities to ensure that all facilities meet the minimum standards of ADA.

SECTION 10 - Board Member Job Description

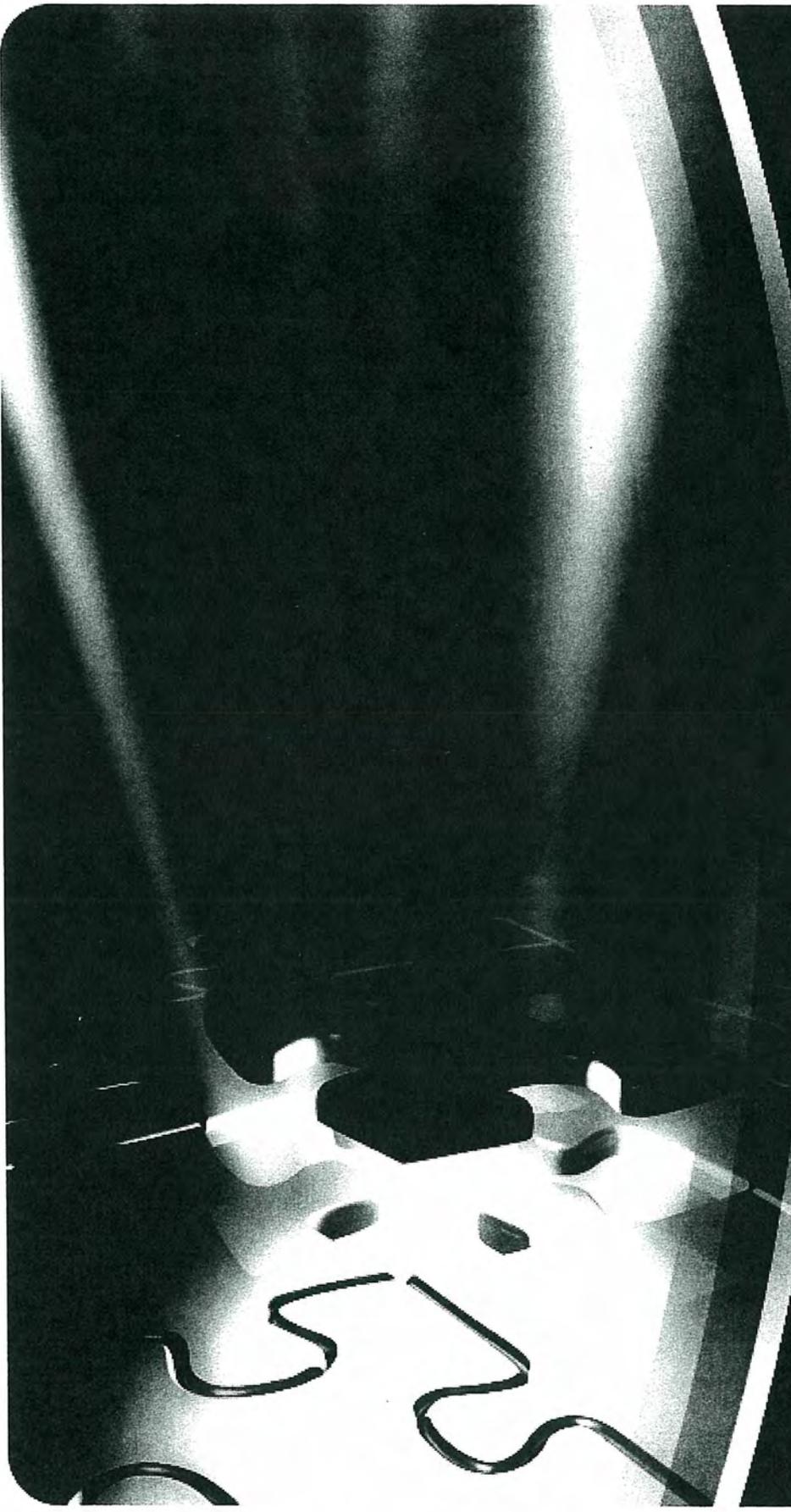
Board members are responsible for determining ALPI policy in human resources, planning, finance, community relations, and organizational operations.

- ▶ **Human Resources** - board members have three key responsibilities in this area:
 - 1) Board membership, which includes recruiting new board members, recognizing and nurturing existing board members, and providing existing board members with opportunities to grow and develop as leaders;
 - 2) CEO oversight, which includes hiring, termination, disciplining and ongoing evaluation of the CEO;
 - 3) Personnel policies, which includes policies relating to the CEO's employment, and ensuring that the CEO has complete and up-to-date policies in place for management of staff.
- ▶ **Planning** - Board members have three key responsibilities in this area:
 - 1) Establishing and reviewing ALPI mission/philosophy/goals;
 - 2) Planning which services/programs ALPI provides; and
 - 3) Evaluating ALPI services/programs and operations on a regular basis.
- ▶ **Finance** - Board members have four key responsibilities in this area:
 - 1) Ensuring financial accountability of ALPI;
 - 2) Overseeing an ongoing process of budget development, approval and review;
 - 3) Raising funds and/or ensuring that adequate funds are available to support ALPI's policies and programs; and
 - 4) Overseeing properties or investments of ALPI.
- ▶ **Community Relations** - Board members have three key responsibilities in this area:
 - 1) Ensuring that ALPI's programs and services appropriately address the needs of those we serve;
 - 2) Advocating for ALPI's services/programs which includes an awareness that board members are always emissaries of ALPI in the community; and

- 3) Cooperative action, which includes determining occasions when ALPI could/should take part in coalitions, joint operations, etc.
- ▶ **Organizational Operations** - Board members have four key responsibilities in this area:
- 1) Ensuring that ALPI's management systems are adequate and appropriate;
 - 2) Ensuring that the board's operations are adequate and appropriate, which includes writing policies for conduct of meetings and operation of board business;
 - 3) Ensuring that organizational and legal structure are adequate and appropriate; and
 - 4) Ensuring that ALPI and its board members meet all applicable legal requirements

PERFORMANCE EXPECTATIONS FOR BOARD MEMBERS

- In performing duties as a member of the ALPI board, every board member is expected to:
- ▶ demonstrate a strong belief and commitment to ALPI's mission.
 - ▶ devote the necessary time to prepare for and participate in board and committee meetings.
 - ▶ exhibit high ethical standards and integrity in all board actions.
 - ▶ be an enthusiastic advocate for ALPI.
 - ▶ take responsibility and accountability for ALPI and all decisions made by the board.
 - ▶ spend the time necessary to learn how to do the job, and maintain an ongoing schedule of inservice to learn how to do the job better.
 - ▶ demonstrate willingness to work as a team member with other board members and the CEO.



The Agricultural and Labor Program, Inc. Community Action Partnership

Succession Planning Guide

WHAT IS A SUCCESSION PLAN

- There are two kinds of succession plans
 - Emergency
 - Unexpected Circumstances
 - Long-Term
 - Retirement

Emergency Succession Plan

Core Components.

EMERGENCY SUCCESSION PLAN ALLOWS AN ORGANIZATION TO PROVIDE FOR THE INTERRUPTED PERFORMANCE OF ESSENTIAL EXECUTIVE FUNCTIONS BY OUTLINING POLICIES AND PROCEDURES FOR THE TEMPORARY APPOINTMENT OF AN ACTING CEO.

Board identifies the key leadership functions of the CEO including ,

- general duties that are common to any executive acting as any organization's principal leader ; and,
- any specific executive functions unique to ALPI.

Outline what sequence of events will occur in the event of a short or long term absence of the CEO including,

- notification of the Board or Executive Committee of the situation;
- implementing the process the Board will begin once it is notified;
- authorizing the compensation and authority of an acting CEO; and,
- establishing a transition and search committee, in the event of a permanent absence.

Emergency Succession Plan

Core Components.

AN EMERGENCY SUCCESSION PLAN ALLOWS AN ORGANIZATION TO PROVIDE FOR THE UNINTERRUPTED PERFORMANCE OF ESSENTIAL EXECUTIVE FUNCTIONS BY OUTLINING POLICIES AND PROCEDURES FOR THE TEMPORARY APPOINTMENT OF AN ACTING CEO.

The Board's Executive Committee identifies senior staff members best qualified to assume the role of CEO in an emergency situation (maximum of 3).

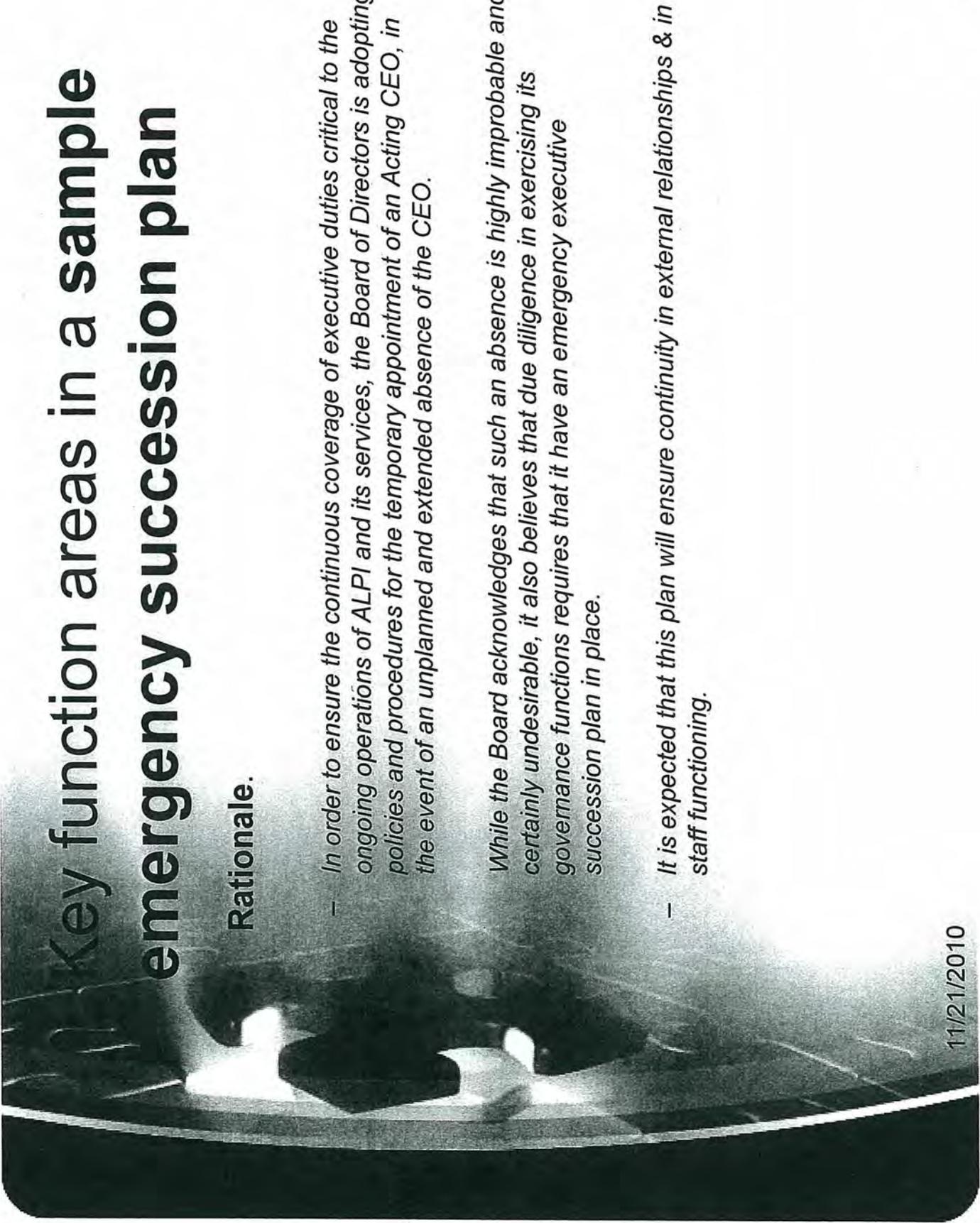
- Designate each leadership position by its title, not a staff member's name.
- Focus on the roles & responsibilities of the position, not the individual, and begin with the assumption the role is temporary.
- Include a provision for cross training those staff who may be appointed to acting CEO, to begin as soon as the plan is adopted by the Board.
- The plan should identify those responsible for planning and implementing cross training.

Emergency Succession Plan Core Components.

AN EMERGENCY SUCCESSION PLAN ALLOWS AN ORGANIZATION TO PROVIDE FOR THE UNINTERRUPTED PERFORMANCE OF ESSENTIAL EXECUTIVE FUNCTIONS BY OUTLINING POLICIES AND PROCEDURES FOR THE TEMPORARY APPOINTMENT OF AN ACTING CEO.

Emphasize the importance of communication with external supporters in the event that this plan is activated.

- Specifically, identify constituent groups such as major donors, membership, government contract managers, foundation program officers,
- other organizations and community leaders who should be personally notified by the Board and/or acting CEO as soon as it is reasonably possible.
- Include this in the Crisis Communication Plan.
- Regularly revisit and modify the emergency succession plan as organizational circumstances change.



Key function areas in a sample emergency succession plan

Rationale.

– *In order to ensure the continuous coverage of executive duties critical to the ongoing operations of ALPI and its services, the Board of Directors is adopting policies and procedures for the temporary appointment of an Acting CEO, in the event of an unplanned and extended absence of the CEO.*

While the Board acknowledges that such an absence is highly improbable and certainly undesirable, it also believes that due diligence in exercising its governance functions requires that it have an emergency executive succession plan in place.

– *It is expected that this plan will ensure continuity in external relationships & in staff functioning.*

Key function areas in a sample emergency succession plan

- **Priority functions of the CEO position at ALPI.**

- Review job description.

- Key functions should include:

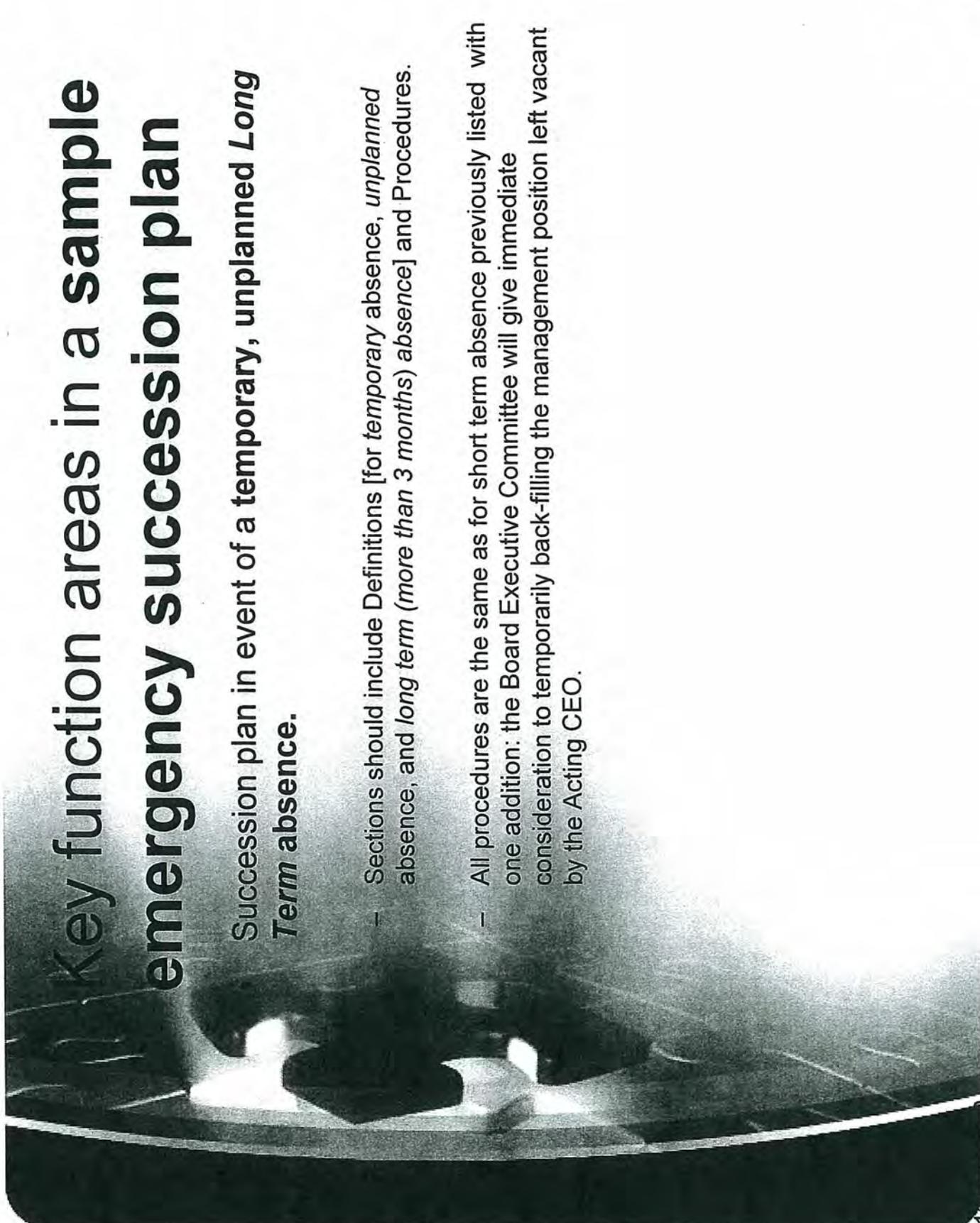
- to serve as the organization's principal leader, representative, and spokesperson to the greater community;
- to support the Board;
- to convene and lead the management team;
- to recruit, select, and evaluate key staff; and;
- to develop and implement organizational strategy and planning.

Key function areas in a sample emergency succession plan

Succession plan in the event of a temporary, unplanned Short Term absence.

- Sections should include: Definitions [for temporary absence, unplanned absence, and short term (3 months or less) absence];
- Who Appoints the Acting CEO;
- Standing Appointee to the CEO Position (should be included in the job description of the appointee);
- First and Second Back-ups for the CEO Position (again, include in these job descriptions);
- Cross Training Plan for Appointees;
- Authority and Restrictions of the Appointee (include full authority, decision making, and independent action, as the CEO);
- Compensation;
- the Board Committee Responsible for Oversight and Support to the Acting CEO; and,
- a Communications Plan.

11/21/2010



Key function areas in a sample emergency succession plan

Succession plan in event of a temporary, unplanned Long Term absence.

- Sections should include Definitions [for temporary absence, unplanned absence, and long term (more than 3 months) absence] and Procedures.
- All procedures are the same as for short term absence previously listed with one addition: the Board Executive Committee will give immediate consideration to temporarily back-filling the management position left vacant by the Acting CEO.

Key function areas in a sample emergency succession plan

- Succession plan in event of a **Permanent unplanned absence.**

- Sections should include Definition [for permanent unplanned absence (*one in which it is firmly determined that the CEO will not be returning to the position*)] and Procedures.
- All procedures are the same as for short and long term absences previously with one addition: The Board of Directors shall appoint a Transition and Search Committee to plan and carry out a transition to a new permanent CEO.

Key function areas in a sample emergency succession plan

- **Approvals & maintenance of records.**
 - Includes three sections:
 - Succession plan approval (*Board Executive Committee, then full Board*);
 - Signatories (*Board Chair, organization's CEO, human resources administrator, and appointees designated in the plan*); and,
 - Maintenance of records (*copies maintained by the Board Chair, CEO, Deputy Director, the two back-up appointees, the human resources department and the organization's corporate attorney*).

11/21/2010

General Succession Planning Steps.

• Start with the Organization's Vision and Values.

- The Board must be clear in its *vision* for ALPI's future to effectively keep the organization operating during a transition and to hire a successful CEO replacement.
- Ask: Where do we want ALPI to go? What will be ALPI's impact?
- Commitment to this *vision* is the first criteria the Board seeks in the replacement for the current CEO.
- It is helpful to have an ongoing Community Impact Plan, or Strategic Plan that includes community impact, in place to clarify how the *vision* will be reached.
- Establish a written and adopted set of *core values* against which the Board will measure its future CEO.
- The *Values Statement* needs to contain core philosophies that detail what behaviors are appropriate and that provide guidance when tough decisions need to be made.
- The Board needs to determine if prospective CEOs share the *core values*.

General Succession Planning Steps.

- **Update job descriptions.**

- Make sure CEO and key staff's job descriptions are current.
- This should be made part of the Board's annual evaluation process with the CEO and the CEO's process with staff.

- **Create a Task List.**

- Different than the job description, a task list is a list of what employees do every day.
- At least the CEO and key staff should have one.
- Ask: What do you do every day? What do you do once a week and when? What do you do monthly, quarterly, and annually? What do you do when it needs to be done or check on intermittently?
- A *task list* is critical in case of the sudden departure of key employees because it helps a replacement more quickly come up to speed and facilitates distribution of the departing employee's work load among other staff, if needed.

General Succession Planning Steps.

- *Create a Calendar from the Task List.*

- Have the CEO and key staff completes an annual calendar with tasks on it so the Board can see quickly those things that happen regularly throughout the year – monthly, quarterly, annual and intermittent tasks.

General Succession Planning Steps.

- *List the Location of Critical Things.*

- The CEO and key staff need to keep an up-to-date list of critical things, e.g., keys, combinations, pass codes, checkbook, alarm codes, etc.
- To develop these lists, take the task lists and examine what is needed to get everything done.
- This also helps to ensure back-up systems, i.e., that there is no key that is in the possession of only one person, etc.

General Succession Planning Steps.

- ***Create a Description of Critical Relationships.***

- For every task, program, or function of the CEO and key staff job descriptions, list what people are absolutely relied on for ensuring that function is completed successfully.
- This could be internal employees and external partners. It is sometimes easier to do this as a flow chart, rather than a list.

- ***List the Key People for Fund Development/Rainmaking.***

- Ensure the donor list is complete and up to date, with appropriate notes about who knows whom and from where, who maintains special relationships, birthdays, interests, etc.
- Keep an updated list of other volunteers and special people. Ask, "Who would you thank for making your job easier?"

General Succession Planning Steps.

• **Ensure Organizational Redundancy.**

- Have a policy in place that provides for the following:
 - *The CEO will ensure that no fewer than two other key employees are familiar enough with the critical duties performed by the CEO that those employees could ensure those duties are accomplished in the event of the CEO's sudden or extended absence.*
 - The CEO will further ensure that the same is true for each position considered mission-critical for the organization's overall functionality.
 - *For each key position, there shall be no fewer than two other employees familiar enough with the critical duties performed by those key positions to ensure those duties are accomplished in the event of a sudden or extended absence by one of those key employees.*
- Decide how jobs will be broken up among staff and conduct cross training. The goal is that someone can get every key job done at ALPI until a replacement is found for any key departing staff, especially the CEO.

General Succession Planning Steps.

- **Monitor Implementation of the Plan Regularly.**
 - Planning is one step; enacting related plans, policies, and procedures is the second step.
 - The third critical step is to annually monitor to ensure plans are implemented.
 - Once a year, the Board should have “*Succession Plan Review*” as part of its agenda.
- **Get Board and Community Input Before Finalizing.**
 - Ask at least the ALPI leadership (Board, and Program Directors): If the CEO took a vacation and never came back, what would worry you most about keeping ALPI’s operations going?

General Succession Planning Steps.

- *Record History and Culture.*

- Ensure the history of the organization is accurately and completely recorded and updated.
- The organization is in trouble if it relies on a few key people for its institutional memory.
- Include how the organization got to where it is, major change and event points, and the current organizational DNA. Ask, “What is distinctive about ALPI versus other organizations?”

General Succession Planning Steps.

- *Ensure a Sound Search and Hiring Process is in Place Before Beginning the Search.*
 - Revisit organization's vision, values, and plan to incorporate into process.
 - Ensure the hiring process is clear and transparent to Board and staff.
Ensure the job description is up-to-date.
 - Take time to interview and research candidates thoroughly.

General Succession Planning Steps.

- ***Establish an Orientation and Support Committee.***

- This Committee can succeed the Search Committee in working with the new CEO, i.e., introduce the new CEO to staff and highlight the person's qualifications, thank staff formally for filling in for the transition period, etc.
- This Committee can establish and conduct an orientation process, develop a briefing book for the new CEO, determine explicit performance goals with the new CEO, and revisit them at several intervals over time to provide support.

Succession Planning Calendar

11/21/2010

AGENCY AND SHARED GOVERNANCE POLICIES AND PROCEDURES

- ▶ Personnel Policies and Procedures (Table of Contents)
- ▶ Background Screening Policy
- ▶ Hiring Policy
- ▶ Termination Policy
- ▶ Grievance Policy
- ▶ Internal Dispute Policy
- ▶ Code of Business Conduct
- ▶ Driving Policy 145
- ▶ Driving Policy 150
- ▶ Private and Agency Vehicle Authorizations
- ▶ Fiscal Policies and Procedures (Table of Contents)
- ▶ Code of Conduct
- ▶ Purchasing and Procurement
- ▶ Business Travel Expenses and Reimbursement
- ▶ Advisory, Policy Committee & Policy Council Handbook
- ▶ Robert Rules of Order
- ▶ CSBG Tripartite Board Regulations
- ▶ Public Relations Policy
- ▶ Head Start Program Governance Performance Standards
- ▶ Head Start Act
- ▶ CSBG Governance Organizational Standards
- ▶ Risk Management Assessment Checklist



**THE AGRICULTURAL & LABOR PROGRAM, INC.
POLICIES AND PROCEDURES MANUAL**

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APPENDIX

Forms used in the administration of human resources policies and procedures



BACKGROUND SCREENING

129 BACKGROUND SCREENING

I Purpose

To ensure the ongoing evaluation process to protect the children less than 18 years of age that we serve in our programs.

To promote an environment of safety, mutual trust and respect and as required by Florida Statute, Chapter 435, a Background Screening will be Completed on all persons including volunteers who will be assigned to work With children.

II Policy

All employees and/or volunteers assigned to work with children 18 years old or Younger is required by law to be screened and undergo background screenings as a condition of employment and continued employment. The screening must include, but not be limited to, fingerprinting, statewide criminal records checks through the Florida Department of Law Enforcement, and federal criminal records checks through the Federal Bureau of Investigation, and may include local criminal records checks through local law enforcement agencies.

Each employee and/or volunteer in a position for which employment screening is required must submit personal identification necessary to conduct a screening prior to starting to work.

Any person determined not qualified to work with children in accordance with the Florida Statutes and Chapter 435 shall be reasonable cause to believe that grounds exist for the denial or immediate termination of employment.

Any person who is required to undergo a background screening for employment and refuses to cooperate in such screening or refuses to submit the information necessary to complete the screening, including fingerprints when required, shall be disqualified from employment in such position or, if employed, shall be terminated.

III Procedures

Definition:

BACKGROUND SCREENING

- Children:** Any person under the age of 18.
- Volunteers:** All persons, eighteen years or older, parents, community Workers/volunteers, or community workers, who participate in the work of the agency, whether full time or part-time, paid or unpaid. Includes persons who provide more than two (2) hours of volunteer service per day and/or ten (10) hours per week working directly with children under the age of 18.
- Employee:** Any person employed that required by law to be screened pursuant to the provisions in Florida Statutes, Chapter 435 and applicable existing agency policies and procedures.
- Supervisor:** Person to whom the position reports. The supervisor may be a Teacher, Department Director, Manager, or etc. The supervisor has the right to recommend the termination of employees and/or dismissal of a volunteer, and to direct the work of the positions reporting to him or her.

A. Screening Standards

All employees and/or volunteers required by law to be screened shall be required to undergo background screenings as a condition of employment and continued employment.

1. The screening shall include, but not limited to, fingerprinting, statewide criminal records checks through the Florida Department of Law Enforcement, and federal criminal records checks through the Federal Bureau of Investigation, and may include local criminal records checks through local law enforcement agencies.
2. Any person for whom employment screening is required by statute must not have been found guilty of, regardless of adjudication, or entered a plea of nolo contendere or guilty to, any offense prohibited under the Florida Statutes, Chapter 435.
3. Every person employed and/or volunteer in a position for which employment screening is required must submit a complete set of information necessary to conduct a screening prior to starting to work.

BACKGROUND SCREENING

4. Any person determined not qualified to work with children in accordance with The Florida Statutes, Chapter 435 shall be reasonable cause to believe that grounds exist for the denial or immediate termination of employment.
5. All persons denied and/or terminated shall be notified in writing, stating the specific record, which indicates noncompliance including but not limited to the Florida Statutes, Chapter 435.
6. It shall be the responsibility of the effected employee to contest his or her disqualification or to request exemption from disqualification in accordance with DCF specified rules and regulations.
7. Any person who is required to undergo employment screening and who refuses to cooperate in such screening or refuses to submit the information necessary to complete the screening, including fingerprints when required, shall be disqualified for employment in such position or, if employed shall be dismissed.

B. Volunteers

All volunteers who will have as part or all of their assignment, regular contact with children under the age of 18 must have the background screening completed satisfactorily before they can begin to work with children.

1. Such volunteers must be notified that a criminal background check will be necessary before they will be allowed to begin any activity involving children. Volunteers must submit all requested information that's required to complete the background screening.
2. Once the appropriate report has been requested, the turnaround time is less than 72 hours. If a volunteer has no convictions that would prevent him or her from serving in a volunteer capacity with children, the volunteer will be notified and appropriately assigned to duty. If there is a disqualified conviction in accordance with Florida Statutes, Chapter 435, the volunteer will not be hired and will be notified in writing by the agency's Human Resources Director.
3. Any individual convicted of a crime in accordance with the Florida Statutes, Chapter 435, including those listed below is not eligible to participate in any ALPI volunteer service position:

BACKGROUND SCREENING

- a). Conviction of any crime that results in the death of the victim
- b). Conviction of any crime involving sexual assault/molestation
- c). Conviction of any felony assault/battery
- d). Conviction of any misdemeanor assault /battery charge in the last five years
- e). Conviction of three or more misdemeanor assault/battery charges
- f). Conviction of any felony distribution or possession with intent to distribute marijuana or other narcotic drugs.

C. Volunteer Re-Checks

All volunteers who continue to have regular contact with children as part or all of their volunteer service assignments must undergo a background screening as requested by the organization but not

less than every five years.

D. Employees

It is important to note that state law requires a fingerprint criminal background check to be done on all potential Child Care employees..

- 1. Such employees must be notified that a Level 2 criminal background check will be necessary before they will be allowed to begin any activity involving children.
- 2. All employees who will have as part or all of their assignment, regular contact with children under the age of 18 must have the background screening completed satisfactorily before they can begin to work.

RECRUITMENT

325 RECRUITMENT

I. Purpose

To assist management personnel in the proper discharge of their hiring responsibilities.

II. Policy

To give equal opportunity to all job applicants and employees in compliance with current laws and regulations

III. Procedure

The guide below is intended to assist management in the recruitment and interview process. It provides "Do's" and "Don'ts" for technical compliance.

A. Reference to race, skin color, religion, national origin, sex, same sex marriage, sexual orientation, disability are prohibited in the conduct of recruitment and interview processes.

1. **DO NOT make references to race, skin color, religion, national origin, sex same sex marriage, sexual orientation, disability in any of the following circumstances:**
 - a. Print, publish, announce or permit to be printed or published any specification to job announcements or advertisement.
 - b. Inquiries which may indirectly request such information for pre-employment purposes;
 - c. ALPI management or staff make any statements or take any action on behalf of the agency which would tend to discourage persons seeking employment, training or advancement, or the use of facilities or privileges.
 - d. Refuse or fail to hire, promote, approve for training or apprenticeship any qualified person for these reasons.
 - e. Differentiate among employees in setting terms, compensation, conditions or privileges of employment.
 - f. Segregate, classify, or limit employees on these terms.
 - g. Retaliate against any person who has filed a complaint of discrimination opposed any discriminatory practice or participated in any proceedings under the law.
 - h. Establish any specifications or qualifications for employment which are unrelated to the job and would tend to exclude qualified persons of a particular group.

B. OBSERVE THE FOLLOING PRACTICES:

1. Guide to successful recruitment and placement of staff
 - a. The phrase "EOE/AA" will appear in all recruitment advertising.
 - b. Conduct staff and employee conferences, as needed, to review the requirements of law, Agency policy, and compliance procedures, and to persuade them to give their full cooperation.
 - c. Inform recruiting sources of the Agency's desire to employ qualified persons of all racial, religious and ethnic groups.
 - d. Pass on all applications to the Human Resources Director for certification of eligibility for position openings,

C. INTERVIEW TECHNIQUES

Interviewing techniques should be reviewed to insure that every person who interviews job applicants are thoroughly familiar with the law and what it means. Make sure the following permissible and non-permissible pre-employment questions are understood:

1. Illegal Pre-employment Inquiries:

DO NOT

- a. Ask "of what country are you a citizen"? (You may ask to see a copy of driver's license)
- b. Inquire whether an applicant is married, single, divorced, engaged, etc. Number and age of children? Any questions concerning pregnancy.
- c. Ask the sex of the applicant or any other inquiry which would indicate sex. Sex is not a bona fide occupational qualification. Nor can sex be used as a factor for determining if an applicant, male or female, will be satisfied in a particular job.
- d. Require that applicant submit photograph or that a photograph is optional before hiring (A photo ID is required with I-9)
- e. Require that applicant produce proof of age in the form of a birth certificate or baptismal record, if not a minor.
- f. Ask for the name and address of relative to be notified in case of an accident or emergency during interview process. (Needed after hiring)
- g. Ask for the names or relationships of persons with whom the applicant resides. Does applicant own or rent home? Any inquiry into foreign addresses that would indicate national origin.
- h. Inquire into general military service. Type of discharge.

-
- i. Ask any questions which tend to identify an applicant's age.
 - j. Ask the question, "Have you ever been arrested?" (Instead, review job application for criminal history)
 - k. Become curious about a person's disabilities.
 - l. Inquire about the applicant's color of skin, eyes, hair or any other questions that directly or indirectly indicates race or skin color.
 - m. Ask any question concerning applicant's credit rating, charge accounts, etc.
 - n. Ask any question that is not job related, nor necessary for determining an applicant's eligibility for employment, nor which directly or indirectly results in limitation of job opportunity in any way.
 - o. Ask specifically for the nationality, racial or religious affiliation of a school on application.
 - p. Ask about the applicant's native language. How applicant acquired ability to read, write, or speak a foreign language or any other inquiries pertaining to national origin, descent, parentage, or lineage.
 - q. Inquire as to applicant's religious denomination or affiliation, religious denomination or affiliation, religious holiday, or "Do you attend church?"
 - r. Inquire into applicant's sexual orientation or same sex marriage status.

2. Legal Pre-employment Inquiries:

PLEASE ASK IF REQUIRED:

- a. Have you ever worked for this company under a different name?
- b. What is your place and length of current and previous residence and how long have you been a resident of state or city?
- c. Are you a citizen of the United States? Can you, after employment, submit proof of U. S. citizenship?
- d. If you are not a citizen of the United States, have you the legal right to remain permanently in the United States? Do you intend to remain permanently in the United States? If not a citizen, are you prevented from lawfully becoming employed because of visa or immigration status?

-
- e. Can you submit a birth certificate or other proof of age? Make a statement that is subject to verification that applicant's age meets legal requirement? (I-9 Form)
 - f. What is your academic, vocational or professional education and school attended? Inquire into language skills such as reading, speaking and writing foreign languages.
 - g. Have you ever been convicted of a felony? Inquiry should relate reasonably to fitness to perform a particular job.
 - h. Is the type of military education, training and experience in the armed forces of the United States related to the job for which you have applied?
 - i. What are the names of your relatives already employed by ALPI?
 - j. To what organizations do you belong, other than those where the name or character indicates the race, religion, creed, skin color, national origin, or ancestry of its members?
 - k. do you have any disabilities or health problems which may affect work performance or which we (employer) should consider in determining job placement?
 - l. By whom were you referred for a position here? Who suggested you apply for a position here? Names of persons willing to provide character and/or professional reference for the applicant.
 - m. A statement that the offer may be made contingent on a physical examination or such other requirement as a background screening check.
 - n. A statement that a photograph may be required after hiring for identification.

D. Filling Job Vacancies

The Human Resources Director will be notified of all vacancies by use of the Personnel Requisition form within 3 days of vacancy.

1. Advertisements in-house

Written job announcements prepared by the Human Resources Department will be placed on site location bulletin boards for 5 working days or placed in a Job Vacancy notebook for viewing by employees only.

2. External Advertisements

Vacancies may be advertised in the media, internet and with agencies.

3. Applications Screened

Applications will be screened by the Human Resources Director and certified as eligible for vacancies based on qualifications. Referrals will be made to the appropriate manager.

4. Interviews

Interviews will be conducted by the appropriate manager, supervisor or designated interview panel.

a. Interview Panel

An interview panel has to be made up of staff in positions above that of the grade level of the vacant position for objectivity and fairness.

b. Interview Questions

Standard questions should be prepared from the job description. Each applicant must be asked the same prepared questions for objectivity and fairness.

c. Interview Rating Form

Each interviewer should be objective and fair in the review of each applicant and rate each applicant accordingly.

d. Composite Score

After each interviewer has scored the applicant, the total of each interviewer's score should be added together and divided by the number of interviewers for a composite score.

e. Selection of Applicant

The applicant with the highest score is the choice. If interview panel group, the applicant with the highest composite score.

5. Reference Checks

Each applicant selected must provide three references. At least one business reference, preferably the latest supervisor of the applicant or other business contact. Answer questions from the telephone reference form. The applicant may bring in two personal references. However, there is no substitute for the business reference call.

E. Recommendations for Hire

Department Directors will submit a Recommendation for Hire to the Human Resources Director with the reasons why the chosen applicant was selected, which includes a review of qualifications.

F. Head Start/Early Head Start Policy Council Approval/Disapproval

The Head Start/Early Head Start Program Director will submit to the Council the applicant hire package for approval/disapproval.

G. Hiring Decisions

The Human Resources Director and Finance Director make recommendations for hire after reviewing recommendation for hire packages received from department directors. The Human Resources Director reviews hiring information for appropriate qualifications and salary determination. The Finance Director reviews hiring information for budget appropriation. Recommendations are passed on to the CEO for approval. The Human Resources Director will notify department directors of hiring decisions by copy of the Personnel Change Notice following the review process. Department Directors will notify applicants with an employment offer.

H. Employment Rejection Letter

Department Directors will submit applications rejected to the Human Resources Director who will notify each applicant with a letter of rejection by mail.

I. New Hire Forms

Department Directors will submit information to the Human Resources Director to verify that new hire requirements have been followed. For example, in order to hire an individual, the following documents are required:

1. *Personal Change Notice
- *Recommendation For Hire
- *Employment Application
- *Diploma and/or Degree
- *3 Reference Checks/1 or 2 Former Employer References/1 or 2 Personal Reference Forms
- *Orientation Checklist
- *I-9 completed with verification of citizenship status, i.e.,
 - Birth Certificate
 - Passport
 - Social Security Card or
 - Driver's License
- *Deduction Waiver
- *Employees Withholding W-4
- *Personal Data
- *Signed Job Description
- *Group Insurance Applications

-
- *Special Rights Accept/Reject Health Insurance Plan
 - *Premium Savings Plan Authorization
 - *Drug Free Workplace
 - *Medical Questionnaire
 - *Time Sheet/Effort Reporting
 - *Code of Business Conduct Pledge Statement
 - *Employment of Relatives Policy
 - *New Employee Orientation Checklist
 - *Weekly Work Hour Schedule
 - *Handbook Receipt and Acknowledgement
 - *Affordable Health Care Exchange Notice

2. Additional Forms Required for Hire in Child Care and Head Start are as follows:

- *Local Law enforcement check
- *Child Abuse background check
- *Fingerprints
- *Physical Examination Results
- *TB Test Results
- *Affidavit of Good Moral Character
- *Corporal Punishment
- *Discipline Policy
- *Child Abuse/Neglect Training Pamphlet & Acknowledgment

J. Clearance Register

In order to remain employed, Child Care and Head Start staff must clear the Federal, State and Local Child Abuse Register. Employees not clearing the register will be terminated. (See Standards of Conduct and Florida Administrative Code for Child Care Standards).

TERMINATIONS

285 TERMINATIONS

I Purpose

ALPI has a considerable investment in its staff and seeks to maintain staff.

II Policy

An employee is requested to submit a written notification to the supervisor at least two (2) weeks in advance of resignation.

Any terminated employee who has completed regular probation may appeal his/her termination.

Prior to any recommendation for termination, program management is to provide the counseling and/or training an employee needs to improve his or her performance or conduct to the level necessary for removal from probation. Failure to develop and carry out an adequate counseling or training plan will be grounds for reversal of any adverse action.

The Board of Directors will initiate termination or disciplinary suspension against the Chief Executive Officer.

III Procedure

A. Resignation

Employee may submit a notice of resignation two weeks in advance.

1. Supervisor acknowledges notice of resignation.
2. Department Director submits a Personnel Change Notice to Human Resources recommending termination of employee and submits a Position Requisition to fill the vacancy
3. The Head Start/Early Head Start Policy Council reviews any requests for resignation following approval by the Chief Executive Officer, and recommends or approves action.

TERMINATIONS

4. The employee prepares time sheet and turns in all assigned agency property on the last day of work.
5. Supervisor will complete an Exit Interview prior to employee's last day and submit completed form with final time sheet.
6. An employee may be given two week's pay and may be required to discontinue work immediately in lieu of working during the two-week notice period.

B. Involuntary Separation/Lay-Off/Furlough

Reasons for non-disciplinary discharge, or "termination without prejudice," include, but are not limited to:

1. Reduction of labor force
2. Organizational changes
3. Lack of funding

C. Resignation During Separation/Lay-Off/Furlough

An option to resign is available for those who prefer not to be on recall status. In this case, an employee must submit a letter of resignation and may become eligible to receive benefits such as retirement pay-out, etc.

D. Disciplinary Termination For Cause

This procedure addresses disciplinary termination for policy violations.

1. Dismissal for Violation of Standards of Conduct

Disciplinary dismissal for gross neglect or infractions(s) of standards of conduct are conducted in the following manner:

a.) Dismissal-disciplinary termination for cause

A termination for cause is initiated when an employee exhibits unsatisfactory performance/behavior and acknowledges offense that will justify immediate termination.

TERMINATIONS

E. Dismissal Process

Infractions management deems to be sufficiently serious, or continued failure to respond appropriately to prior corrective action, support a recommendation for discharge. The approval of the Chief Executive Officer must be obtained prior to the discharge of an employee under any circumstance.

1. Termination according to the following steps will satisfy fair labor employment practices:
 - a) A Disciplinary Action Report must accompany any request for corrective action.
 - b) A discussion must occur between the supervisor and employee as soon as possible following the infraction to ensure proper communication.
 - c) Once the Department Director, Manager or supervisor determines the termination of an employee is necessary, the Department Director recommends termination to the Chief Executive Officer.
 - d) A Personnel Change Notice, Disciplinary Action Report, and incident/accident report are sent to the Human Resources Director for review.
 - e) Supporting documents are presented to the Chief Executive Officer by the Department Director or Human Resources Director.
 - f) The Chief Executive Officer may recommend an alternative action. If the Chief Executive Officer concurs with the recommendation to terminate, the Personnel Change Notice is signed. The employee is notified of dismissal by the Department Director upon receipt of the signed Personnel Change Notice from the Human Resources Director.
 - g) The Head Start/Early Head Start Policy Council reviews any requests for terminations or dismissal(s) following review by the CEO.

2. Termination of a Department Director

If the termination of a Department Director is necessary, the Chief Executive Officer initiates the termination and presents data to the Board of Directors. If the Board concurs with the recommendation to terminate, the Chief Executive Officer will follow through with the termination proceedings.

TERMINATIONS

a) Head Start/Early Head Start Policy Council Review

If the termination of the Head Start Director or the Early Head Start Program Manager is necessary, the Chief Executive Officer initiates the termination and presents data to the Head Start/Early Head Start Policy Council, which reviews any such recommendation prior to review by the Board of Directors. The Head Start/Early Head Start Policy Council will review, and approve or disapprove the action. If there is concurrence with the recommendation to fire, the Board of Directors will review the request. If in agreement, the Chief Executive Officer will initiate the termination proceedings. If the Head Start/Early Head Start Policy Council does not approve the termination as requested the CEO, the CEO will request a mediator or Board Representative to intercede in obtaining a resolution or unanimous agreement. The CEO will follow through with the decision of the Policy Council.

- b) Termination proceeding for the Director or Manager must be submitted in writing to the Regional Offices of HHS 30 days prior to termination.

3. Letter From Chief Executive Officer

Any terminated employee who has completed regular probation may appeal his/her termination.

- a) By responding to a letter sent by the Chief Executive Officer acknowledging the termination, the former employee may respond within ten (10) days of receipt of the letter with a rebuttal.
- b) The CEO will review any information presented and either request a follow-up hearing or send a letter confirming the termination. If in the information presented there are questions or grounds for a change in decision, the CEO will take the appropriate action.

F. Appeal Process

Since a probation can result in termination or demotion to a lower pay category, the probation can be appealed to the Chief Executive Officer under the following circumstances:

1. Full-time employees who have completed a regular probation period and were demoted, may appeal through the Grievance procedure.

TERMINATIONS

2. Probationary employees who have not completed their initial probation period are not eligible to use the Grievance Procedure available for regular full-time employees to grieve a termination or disciplinary action.



GRIEVANCE

170 GRIEVANCE

I Purpose

To ensure employees are treated in a fair and impartial manner, a grievance procedure has been established to resolve problems quickly, fairly, and equitably.

To make available a systematic mechanism in which to resolve employment problems, complaints, conflicts with regulations, Agency policies and procedures, and or program policies and procedures.

II Policy

Failure to follow the steps outlined through the resolution of conflict can result in disciplinary action, up to and including termination.

III Procedure

A problem-solving mechanism in which every attempt is made to resolve issues through effective and efficient communications processes between employees and management via a multi-step process.

Definition of Grievance

An employee's unresolved dissatisfaction with any aspect of working relationships in which the employee chooses to bring the concern to the attention of the immediate supervisor.

A. Steps for Compliance with Grievance Procedure

Use Employee Grievance Form (Step I)

The aggrieved employee must present his/her grievance in writing to the supervisor on the Employee Grievance Form within seven days of the action referencing the complaint. The grievance is to be specific, stating the nature of the concern and what he/she feels is the appropriate remedy.

B. Supervisor Responsibility (5 working Days) (Step II)

The supervisor must, within five (5) working days of receipt of the grievance, have a meeting with the employee to discuss the grievance.

GRIEVANCE

C. Supervisor Responsibility (5 working Days) (Step III)

The supervisory decision regarding the disposition of the grievance shall be conveyed to the employee within five (5) working days following the meeting in writing.

D. Supervisor Responsibility (next 5 working Days) (Step IV)

If the employee has not heard from the supervisor within five (5) working days after the initial meeting or is dissatisfied with the decision, the employee may present the grievance to the next level of administrative supervision, following the chain of command within in the .

E.. Department Director Responsibility (Step V)

Upon receiving the grievance, the Department Director must meet with the employee within five (5) days of receipt of the grievance.

1. The department director's decision must be in writing and conveyed to the employee within five (5) working days after the meeting.
2. If the employee is not satisfied at this level, the employee may file the grievance with the Chief Executive Officer within five (5) days of receipt of the decision.

F. Chief Executive Officer Responsibility (Step VI)

Upon receiving the grievance, the Chief Executive Officer must meet with the employee within five (5) days of receipt of the grievance. A decision will be conveyed to the employee in writing within five (5) working days. If the employee is not satisfied with the decision of the Chief Executive Officer, a hearing may be requested with the Executive Committee of the Board of Directors within five (5) working days of receipt of the CEO's decision.

G. Head Start/Early Head Start Policy Council (Step VII)

Head Start and Early Head Start employees will submit their grievance to the Policy Council prior to requesting a meeting with the Board of Directors. All steps - II -VI must be followed prior to submission to the Policy Council. The Policy Council has ten (10) working days to schedule at least one meeting and make a recommendation.

(See Head Start Policies and Procedures for more detail)

H. Board Of Directors Review (Step VIII)

Upon receipt of a request for a meeting, the Board will review the grievance. The decision of the Board of Directors is final. The employee will be notified of the Board's decision within thirty (30) days.

**ALPI HEAD START/EARLY HEAD START
OPERATIONAL POLICIES AND PROCEDURES
PROGRAM DESIGN AND MANAGEMENT**

SUBJECT: PROGRAM GOVERNANCE

RELATES TO CFR#: 1304.50 (h)
INTERNAL DISPUTE RESOLUTION

PERFORMANCE OBJECTIVE: To establish and maintain a procedure to settle disputes and resolve impasses between the ALPI's Board of Directors and the ALPI Head Start/Early Head Start Policy Council.

Policy:

The ALPI's Board of Directors and the ALPI Head Start/Early Head Start Policy Council will resolve disputes as outlined in the approved procedure.

OPERATIONAL PROCEDURES:

Internal Dispute Resolution Procedure:

1. When ALPI Head Start/Early Head Start Policy Council and the Board of Directors (governing body) reach an impasse on issues requiring the approval of both bodies, the following procedures will be implemented:
 - The Chairperson of the Board of Directors may elect to schedule a jointly called meeting of the Board with the full membership of the Policy Council, and/or the chairpersons of each body may each appoint three members to a "Dispute Resolution" Committee, functioning as a special committee of the Board of Directors. The joint bodies or committee shall meet at a mutually agreeable time and place to discuss the impasse issue(s) informally, and institute all good faith efforts to resolve the dispute in a manner acceptable to both bodies.
 - Recommendations developed and approved unanimously by the Dispute Resolution Committee and/or recommendations arising from the joint meeting will be presented for approval to both bodies.
 - If the committee and/or combined bodies fail to negotiate the issue, formal procedures shall be implemented. All mediation or subsequent dispute resolution discussions will remain confidential among members of the two bodies.

- The Dispute Resolution Committee, if not previously established, will be appointed by the chairpersons of each body, and meet to select a qualified neutral third party to serve as a Mediator to assist the bodies in resolving the impasse. The Mediator shall not arbitrate, judge nor decide the dispute for the parties, but will work to gain the trust of both parties and then use his/her knowledge and skills to help the parties focus their interest and goals in order to come to an agreement that meets their individual and mutual objectives. If the committee cannot agree upon a mediator, chairpersons of the both bodies will recall members and appoint new representatives to the committee.
 - The mediator is strictly prohibited from discussing the case with anyone outside the mediation process, so that no one who might be involved in a possible later adjudication will have any knowledge of what happened during mediation. Fees for mediation services may be charged to the program grant and/or discretionary funds of the Board of Directors.
 - Although either body is free to consult with legal counsel at any time, the mediation process shall not require parties to have attorneys.
 - In the event that the impasse cannot be resolved by mediation, the Board of Directors will notify the assigned Program Specialist at the Regional Office. Both bodies may elect to enter into binding arbitration (by individual panel) following procedures developed and approved by both Policy Council and Board of Directors. If either party refuses to engage in arbitration, the Board of Directors may elect to enter the judicial system to resolve disputes.
2. During the course of informal and formal efforts to resolve the dispute, no related actions shall be implemented unless approved by both bodies. If the conflict places the program or agency in jeopardy of losing funding, violation of local, state and federal statutes, endangering the health and safety of staff, parents and/or legal guardians, participants, or the public; or involves an emergency situation requiring immediate action, the Board of Directors has the authority to seek approval from the funding agency, local, state, or federal authorities (if applicable) and/or the judicial system to implement such actions as it deems warranted.
 3. Once the dispute is resolved, such corrective actions or reparations deemed by the mediated, arbitrated, or judicial decision accepted shall be implemented.

CODE OF BUSINESS CONDUCT

140 CODE OF BUSINESS CONDUCT

I Purpose

To conduct business activities and transactions with honesty and integrity, and in accordance with moral, ethical and legal standards. The Board of Directors of ALPI has adopted the following Code of Business Conduct which shall apply to the agency officers, all agency employees or agents. Conflicting interests can be financial, personal relationships, status or power.

A code or standard of conduct shall be maintained to prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents and to prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, or agents for their personal benefit in excess of minimal value.

II Policy

ALPI shall maintain a code of conduct which shall govern the performance of its officers, employees, and agents including adherence to but not limited to the following:

- a. Any services to be rendered must be by written contract and approved by the Chief Executive Officer;
- b. Business activities and transactions are to be conducted with honesty and integrity, and in accordance with moral, ethical and legal standards;
- c. Funds or assets of the agency shall not be used for political campaign contributions. Grant monies received through the agency will not be used for lobbying efforts;
- d. Political campaign contributions will not be made by or on behalf of the agency, which includes direct expenditures or contributions, in cash or property, to candidates for nomination or election to public office or to political parties, for indirect assistance or support;

- e. Personal contracts with agency contractors and vendors are prohibited. Employees and agents are to engage in legitimate approved written contracts that describe specific services and not solicit gifts or private recognition from contractors;
- f. Employees or agents are not to have a direct or indirect personal interest in the business of any supplier or client;
- g. Employees or agents are not to accept any salary, fee, commission nor other compensation from any supplier, or client;
- h. Employees or agents are not to accept any personal gratuities, favors, or anything of significant monetary value from contractors or potential contractors;
- i. A contractor, vendor, employee nor agent shall be retained to perform any service except for legitimate business purposes and in accordance with applicable policies;
- j. No department nor program is excused from the manifestation of this Code.
- k. No employee nor agent is excused from the manifestation of this Code in everyday practices and operations.
- l. Board members, employees and agents are prohibited from receiving gifts, fees, loans, or favors from suppliers, contractors, consultants, or financial agencies, which obligate or induce the board member, employee and agent to compromise responsibilities to negotiate, inspect or audit, purchase or award contracts, with the best interest of ALPI in mind.
- m. Board members, employees and agents are prohibited from knowingly disclosing information about ALPI to those who do not have a need to know or whose interest may be averse to ALPI, either inside or outside ALPI. Nor may board members, employees or agents in any way use such information to the detriment of ALPI.
- n. Board members, employees, or agents may not have a significant financial interest in any property which ALPI purchases, or a direct or indirect interest in a supplier, contractor, consultant or other entity with which ALPI does business.

III Procedures

To the extent permissible under the State or local law, rules and regulations, or if ALPI determines that it has the legal and practical capacity for enforcement, such standards as stated in the Personnel Policies, Fiscal Policies and Board Manual shall provide for appropriate penalties, sanctions, or other disciplinary actions to be applied for violation of such standards either by ALPI's officers, employees, and agents, or by its contractors or their agents. Including but not limited to the following:

A. Reporting Improper Practices by Employees and Agents

1. Employees and agents have a duty to report, verbally or in writing, promptly and confidentially, any evidence of improper practice of which they are aware. The term "improper practice" means any illegal, fraudulent, dishonest, negligent, or otherwise unethical action arising in connection with the agency operations or activities.
2. Reports of improper practice should be submitted through the lines of administrative supervision except when the alleged impropriety appears to involve a management employee. In such cases, reports should be referred to the Chief Executive Officer, who will advise the Board of Directors, Policy Council, and grantee agencies when applicable.

B. Reporting of Improper Practices by Board of Directors/Governing Bodies

1. Any possible conflict of interests on the part of any board member should be disclosed to the other board members and made a matter of record, either through an annual procedure or when the interest becomes a matter of board action.

2. Any board member having a conflict of interests or possible conflict of interests should not vote or use his/her personal influence on the matter, and he/she should not be counted as part of a quorum for the meeting. The minutes of the meeting should reflect that a disclosure was made, the abstention from voting and the quorum situation.
3. These restrictions should not be construed as preventing the board member from briefly stating his/her position in the matter, nor from answering pertinent questions of other board members, since his or her knowledge could be of assistance to the deliberations.

C. Methods to be used to ensure that all officers, employees, or agents of the organization are aware of the code of conduct include but not limited to the following:

1. All board members will be required to complete the "Conflict of Interests Statement." This policy will be reviewed by the board annually and given to each new board member for signature during orientation.
2. A signed "Code of Business Conduct Pledge Statement" will be completed and maintained on file for all employees, agents, and vendors/contractors during business with the organization for future reference.



DRIVING AGENCY VEHICLES ON AGENCY BUSINESS

145 DRIVING AGENCY VEHICLES ON AGENCY BUSINESS

I. Purpose

Employees whose duties include driving may be assigned an agency-owned vehicle for use in carrying out Agency business.

II. Policy

Employees assigned an agency-owned vehicle must keep their driving record clear of accidents, excessive points and/or convictions for moving traffic violations to receive proper clearance by the Florida Department of Highway Safety and Motor Vehicles.

The assigned employee is the only person permitted to use the agency's vehicle while the vehicle is in his/her possession. No other person (including members of the employee's household), is permitted to drive the assigned vehicle. The exception is employees who are assigned vehicles for business and personal use and have possession of the vehicle at all times.

III. Procedure

A. Approval

Employees whose duties include driving an assigned agency vehicle are approval by the Chief Executive Officer and on the recommendation of the Department Director, when applicable.

1. The Department Director must ensure that the employee has a valid driver's license of the type required to operate the vehicle assigned and a copy is placed in the Human Resources file.
2. Employee must provide Human Resources a copy of updated driver's license and insurance card bi-annually.

B. Notification of Moving Violations/Accident

An employee must notify his/her immediate supervisor within 24 hours of any:

1. Citation or conviction for a moving traffic violation;
2. Motor vehicle accident in which he/she is involved; and/or
3. Suspension or revocation of a driver's license.

Failure to report can result in disciplinary action, up to and including termination or revocation of driving privileges for designated drivers to travel on agency business.



C. Motor Vehicle Driving Records

Employees must submit their (3 year) motor vehicle driving records to the Human Resources Director, at the time of hire and bi-annually thereafter.

1. The Human Resources Director will monitor the driving records of employees bi-annually or as identified by the insurance carrier.
2. Employee driver license identifications are sent bi-annually to the insurance carrier by request. Motor vehicle records are obtained bi-annually from the State Division of Motor Vehicles by the Agency's automobile liability insurance carrier in order to determine who is eligible to drive on agency business.
3. Employees cited with violations are notified by the Human Resources Director. The employee must respond within a set period with pertinent information to verify charge.
4. When a newly hired employee or a promoted/transferred employee is assigned an agency-owned vehicle, it is the responsibility of the Department Director to ensure that the employee has a valid driver's license of the type required to operate the vehicle in question and must provide a copy of driver's license to Human Resources for the employee file.
5. Applicants will be asked, as part of the employment application, to list all convictions for moving violations of traffic laws during the 3 year period immediately preceding the date on which the application for employment is submitted.
6. No assignments will be made to employees or applicants for employment, who have three or more convictions for moving violations, suspended driver's license, and/or cited for driving under the influence (DUI) or driving while intoxicated (DWI) within a 3 year period.

D. Penalties for Excessive Traffic Violations

In the event of convictions resulting from aggravated or serious violations of traffic laws, the agency reserves the right to take disciplinary action against any employee whose duties include driving an assigned agency vehicle.

1. Any employee who has three or more convictions for moving violations, excessive points, suspended driver's license, or is cited for driving under the influence (DUI) or driving while intoxicated (DWI) within a 3 year period, will, upon review, be subject to a suspension of travel reimbursement privileges, the employee's right to drive the agency-owned vehicle, or any other vehicle, in the course of agency business. The term "Convictions," as used herein, includes those incurred while driving any vehicle, agency-owned or otherwise.



2. Failure to report an accident can result in disciplinary action, up to an including termination or revocation of driving privileges for designated drivers to travel on agency business.
3. Any employee who becomes ineligible to drive based on moving violations or accidents shall be re-evaluated for his/her ability to perform his/her current position.

E. Conviction

“Conviction” for any traffic offense in this policy means any adjudication of guilt and not an arrest or a withheld of adjudication.

F. Personal Use Mileage Rate

When driving an agency vehicle for personal use, the employee will be charged a mileage rate, which will include cost of normal maintenance, insurance and gasoline.
Note: Consult the Agency’s Fiscal Management Policies and Procedures and the Business Travel and Reimbursement Policy and Procedure manuals for more details.

G. Accident Insurance Coverage

Insurance coverage is provided by the agency for agency-owned vehicles. Accidents are to be reported directly to the insurance company, or contact Human Resources.

H. Exclusion from Coverage

Any employee driver excluded from coverage by ALPI’s insurer due to their driving record shall not be allowed to drive any vehicle in the performance of their assigned business responsibilities.

DRIVING PERSONAL VEHICLES ON AGENCY BUSINESS

150 DRIVING PERSONAL VEHICLES ON AGENCY BUSINESS

I. Purpose

Employees and other designated drivers may be required to use their personal vehicles in the performance of their assigned business responsibilities.

II. Policy

Employees and other designated drivers must keep their driving record clear of accidents, excessive points or convictions for moving traffic violations to receive proper clearance by the Florida Department of Highway Safety and Motor Vehicles. Employee and other designated drivers must also have State required minimum auto coverage.

When on Agency business, the employee and other designated drivers must be authorized by the appropriate supervisor and must have on file in the Human Resources Department, a signed Driving Personal Vehicles on Agency Business Compliance Certification Form in order to be reimbursed for travel in accordance with applicable funding restraints as defined in the Agency's Fiscal Policies and Procedures Manual and the Business Travel Expense and Reimbursement Policy and Procedure Manual.

ALPI employees and other designated drivers within the Child Development or Head Start Programs, under no circumstances, are required to use their personal vehicle to transport children as a regular means of transportation. In those instances where transporting children is necessary and authorized by the appropriate department director, the employee and other designated drivers involved will be reimbursed at the then current mileage rate as approved by the Board of Directors and/or the applicable funding source.

III. Procedure

A. Driver's License

Employees and other designated drivers whose duties include driving personal vehicle for business purposes must submit a copy of their driver's license upon hire and bi-annually thereafter to Human Resources Department.

B. Notification of Moving Violations/Accident

An employee and other designated drivers must notify his/her immediate supervisor within 24 hours of any:

1. Citation or conviction for a moving traffic violation;
2. Motor vehicle accident in which he/she is involved; and/or
3. Suspension or revocation of a driver's license.

Failure to report can result in disciplinary action, up to and including termination for employees or revocation of driving privileges for designated drivers to travel on agency business.

C. Motor Vehicle Driving Records

To be eligible to drive a personal vehicle for agency business, employees and/or designated driver must submit their (3 year) motor vehicle driving records to the Human Resources Director, at the time of hire and bi-annually thereafter.

1. The Human Resources Director will monitor the driving records of employees and/or designated driver identified as drivers who request reimbursement for travel
2. Employees and other designated drivers cited with violations will be notified by the Human Resources Director. The employee and other designated drivers must respond within a set time period with pertinent information to verify charge(s) and current status.
3. Applicants will be asked, as part of the employment application process, to list all convictions for moving violations of traffic laws during the 3 year period, immediately preceding the date on which the application for employment is submitted.

D. Penalties for Excessive Traffic Violations

In the event of convictions resulting from aggravated or serious violations of traffic laws, the agency reserves the right to take disciplinary action against any employee and/or designated driver whose duties include driving an assigned agency vehicle.

1. Any employee and other designated drivers who has three or more convictions for moving violations, excessive points, suspended driver's license, or is cited for driving under the influence (DUI) or driving while intoxicated (DWI) within a 3 year period, will, upon review, be subject to a suspension of travel reimbursement privileges, the employee's and other designated drivers right to drive the agency-owned vehicle, or any other vehicle, in the course of agency business. The term "Convictions," as used herein, includes those incurred while driving any vehicle, agency-owned or otherwise.
2. Failure to report an accident can result in disciplinary action, up to and including termination or revocation of driving privileges for designated drivers to travel on agency business.
3. Any employee and other designated drivers who becomes ineligible to drive based on moving violations or accidents shall be re-evaluated for his/her ability to perform his/her current position.

E. Conviction

"Conviction" for any traffic offense in this policy means any adjudication of guilt and not an arrest or a withheld of adjudication.

F. Accident Insurance Coverage

Personal Insurance coverage is to cover any accidents that occur during the course of driving a personal vehicle. Employees and other designated drivers must submit a copy of current insurance card to the Human Resources Director and provide updates bi-annually thereafter.

G. Exclusion from Coverage

Employee and other designated drivers must have the State of Florida required minimum auto coverage to be allowed to drive any vehicle in the performance of their assigned business responsibilities.

Note: Consult the Agency's Fiscal Management Policies and Procedures and the Business Travel and Reimbursement Policy and Procedure manuals for more details.

**DRIVING PERSONAL VEHICLES ON AGENCY BUSINESS
COMPLIANCE CERTIFICATION FORM**

I _____ affirm that in order to perform my duties as _____ I may be required to drive a personal vehicle on agency business.

I hereby affirm that I have provided the Agency's Human Resources Department, a copy of my valid driver's license, current auto insurance card, and current three (3) year DMV driving record. I further understand that my driver's record **must** be clear of moving violations and accidents in order to be in compliance with Agency Policy #150 (Driving Personal Vehicles on Agency Business).

I understand that should I be found out of compliance with the Agency's Policy #150, I will not be eligible to drive a personal vehicle to perform any agency business. I further understand that my failure to comply could be cause for denial of approval to drive a personal or any vehicle to conduct agency business.

Furthermore, I hereby agree that **I WILL NOT HOLD THE AGRICULTURAL AND LABOR PROGRAM, INC. LIABLE FOR ANY ACCIDENTS, INJURIES, OR LOSSES** should I be found out of compliance with the Agency's Policy #150.

My signature acknowledges my understanding and acceptance of the terms of which applies.

Employee/Other Designated Driver

Date

Confirmation of Receipt/Acceptance By:

Human Resources Director

Date

**DRIVING AGENCY VEHICLES ON AGENCY BUSINESS
COMPLIANCE CERTIFICATION FORM**

I _____ affirm that I have been assigned an Agency-owned vehicle to perform my duties as _____.

Furthermore, I understand that I am the **only** person permitted to use the Agency's owned vehicle while the vehicle is in my possession. No other person (including members of my household) is permitted to drive the assigned vehicle.

I hereby affirm that I have provided the Agency's Human Resources Department, a copy of my valid driver's license, current auto insurance card, and current three (3) year DMV driving record (3 years). I further understand that my driver's record **must** be clear of moving violations and accidents in order to be in compliance with Agency Policy #145 (Driving Agency Vehicles on Agency Business). A copy of Policy was provided to me with the issuance of the vehicle.

I understand that should I be found out of compliance with the Agency's Policy #145, I will not be eligible to drive the agency vehicle. I further understand that my failure to comply could be cause for the termination of my privilege to drive any agency vehicle.

Furthermore, I hereby agree that **I WILL NOT HOLD THE AGRICULTURAL AND LABOR PROGRAM, INC. LIABLE FOR ANY ACCIDENTS, INJURIES, OR LOSSES** should I be found out of compliance with the Agency's Policy #145.

My signature acknowledges my understanding and acceptance of the terms of which applies.

Employee/Other Designated Driver

Date

Confirmation of Receipt/Acceptance By:

Human Resources Director

Date

**NON-DRIVER ON AGENCY BUSINESS
Certification Form**

I _____ affirm that my position as _____
is a non- driving position.

Furthermore, I understand that I am not authorized to drive my personal vehicle, an agency vehicle or any other vehicle without the approval of my supervisor and a completed certification form signed by Human Resources Director granting approval to drive on agency business.

I understand that should it be found out, that I have been driving on agency business without being properly authorized it will result in disciplinary action to include termination.

Furthermore, I hereby agree that **I WILL NOT HOLD THE AGRICULTURAL AND LABOR PROGRAM, INC. LIABLE FOR ANY ACCIDENTS, INJURIES, OR LOSSES** should I be driving my personal vehicle on agency business as a non-driver.

My signature acknowledges my understanding and acceptance of the terms of which applies.

Employee/Other Designated Driver

Date

Confirmation of Receipt/Acceptance By:

Human Resources Director

Date

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A. ACCEPTANCE OF GIFTS AND GRATUITIES

Policy:

Employees of ALPI, or members of employees' immediate family, ALPI Officers and Members of any Board or policy-making body, are prohibited from soliciting or accepting gratuities, favors, or anything of monetary value from:

- a. persons receiving benefits or services under any program financially assisted by Federal, state, or local funds;
- b. any person or anyone performing services under a contract with ALPI;
- c. persons in a position to benefit from the action of any employee or board member.

Purpose:

ALPI will maintain a code or standard of conduct which shall govern the performance of its officers, employees, and agents, in connection with expending grant funds.

Procedures:

To the extent permissible under the State or local law, rules and regulations, or if ALPI determines that it has the legal and practical capacity for enforcement, such standards as stated in the Personnel Policies shall provide for appropriate penalties, sanctions, or other disciplinary actions to be applied for violation of such standards either by ALPI's officers, employees, or agents, or by its contractors or their agents.

B. RESPONSIBILITY FOR CLIENT FINANCES

Policy:

ALPI staff shall not assume any responsibility for client finances. Those clients who are unable to manage their finances and have no family available to assist them will be referred to the local department of Social Services.

- a. ALPI staff may not cash any benefit checks for clients, nor will they do bill-paying or banking for confused or incompetent clients.
- b. ALPI staff shall not assume legal guardianship nor will they act as Representative Payee for any client, nor act as an attorney-in-fact for any client with or without a written power of attorney.

Purpose:

To protect personal finances of clientele served by ALPI.

Procedures:

- a. In the event a client requires assistance with shopping and bill-paying and is physically unable to go to the store himself/herself, that client will give the staff person the approximate amount of money required for the purchase. The staff person will do the shopping/bill-paying and return to the client the change and the receipt of purchase. Employees may not use a client's blank check for any purpose.
- b. If a staff member is related to a client, the staff member may act in a representative capacity only with written approval of the Chief Executive Officer.

A. GENERAL

This section explains the request for and purchase of supplies and equipment. Department/Program Directors or designate will identify specific procedures for their unit to follow in accordance with established procedures.

The interests of ALPI must always be kept in mind during the procurement process. The most must be obtained for the least. Documentation for the purchase of goods or services and the receipt of them should flow in the same direction simultaneously. And, receipt of what actually happened must be in writing.

The purchasing of goods and services including but not limited to Sub-Recipient Services is initiated by the utilization of either of two procedures depending upon the amount to be spent. These two procedures (systems): Purchase Requisition (Less than \$100.00) and Purchase Order (\$100.00 or more).

B. PURCHASE REQUISITION PROCEDURES

1. Definition

A **Purchase Requisition** (or request for purchase) is a form written by designated personnel to ask administration to buy goods or services whose unit or extended cost is less than \$100.00. The form may be written independently for each request with two (2) copies provided one original and one copy for Budget and Finance and one copy for the person who writes the request.

2. Documentation

The Purchase Requisition should be signed by the person preparing it and should include the following:

- Information as to the quantity and nature of goods or services
- Suggested sources of supply
- Estimated unit cost and extension based on:
 - (a) professional knowledge
 - (b) catalogues
 - (c) other reliable sources
- Date delivery is needed
- Justification for approval or disapproval of the requisition (approved budget item and funds availability).

3. Approval

Approval of the **Purchase Requisition Form** should be done by Department/Program Director and approved by the Chief Executive Officer before ordering. Approved Purchase Requisitions less than a \$100.00 are forwarded to the Budget and Finance Department for payment attached to a **Check Request Form** with a copy of the vendor's invoice attached. The vendor's invoice serves as verification of receipt of goods or services.

Invoice computations and account distributions should be verified. Discounts, rebates, and other allowances are deducted from the vendor's invoice before submission for payment. The original invoice and delivery ticket (if applicable) should be submitted for payment or to support payment vouchers. The copy of the Purchase Requisition should be completed, including verification of the "items received" columns, and a signed invoice or a delivery ticket.

Approved Purchased Requisitions must be submitted to Budget and Finance for the issuance of a **Purchase Order Form** prior to the purchase of any goods or services that is \$100.00 or more.

C. PURCHASE ORDER PROCEDURES

1. Definition

A Purchase Order is a document authorizing a vendor to deliver described merchandise, material, or services at a specified price (unit cost or extension which exceeds \$100.00). Upon acceptance by a vendor, a Purchase Order becomes a legally binding contract. The **Purchase Order Form** gives the vendor authority to ship the required goods or perform the required service and binds ALPI for payment.

2. Form

The **Purchase Order Form** is prepared by the requesting project or department showing all information necessary for the vendor to identify the items and quantities, and make delivery to the proper location. It is prepared in four (4) copies for the following use:

Copy	to	Use
White	Vendor	Authorizes the purchase transaction.
Goldenrod	B & F	Is filed sequentially in the permanent purchase order file.
Canary	B & F	Budget and Finance place in an open Purchase Order file. When goods are received, it is attached to the Check Request and is placed in the file for future reference.
Pink	Requisitioner	GMS generated Purchase Order copy and the pink copy are maintained by requisitioner in an appropriate file which verifies that the order has been placed.

The Purchase Order form is pre-numbered and contains the following information:

1. Vendor's name and address.
2. Date of Purchase Order issuance.
3. Delivery destination or location and any special delivery instructions including a delivery deadline date (if applicable), method of shipment, etc.
4. Quantities ordered.
5. Description of items ordered.
6. Unit prices.
7. Amounts (unit prices extended and totaled).
8. Signature of a person in Budget and Finance who issued the Purchase Order Number.
9. Other special instructions.
10. Justification (approved budget item and funds availability).

It is the responsibility of Budget and Finance to account for all Purchase Orders in numerical sequence. At all times the status and disposition of all Purchase Orders should be known. If

a **Purchase Order** is canceled, Budget and Finance should collect all copies of the canceled Purchase Order and maintain them in the Purchase Order file.

3. Back-Orders

A back-order occurs when an order is placed with the vendor, and the particular item is not in stock at the moment. The vendor indicates this on the invoice with the intention of filling/completing the order when the back-ordered item(s) becomes available.

The same paper trail exists for back-ordered items except that on the invoice and copies the **Purchase Order Form** forwarded to Budget and Finance. The notation that the item is on back-order is made. Usually, the requisitioner advises Budget and Finance that an item which was ordered has not been received. Budget and Finance then reviews the supporting documentation for this item and selects one of the two following options: (1) recorder the item; or (b) cancel the order. The disposition of the back-order should be noted on the copies of the Purchase Order. All back-orders will be routinely canceled as of the end of the fiscal year.

D. **PURCHASING SYSTEM**

Policy:

A central purchasing system is used to make volume purchases of consumable supplies, vehicles, contracts, services, printing, equipment and other items used in the agency's daily operation when applicable. These policies also apply to leasing equipment.

1. A **Purchase Requisition Form** must be used for all purchases whose unit or extended cost is less than \$100.00 and a **Purchase Order Form** must be used for all purchases whose unit or extended cost is \$100.00 or more.
2. A Purchase Order number will not be issued after an order has been placed.
3. Only ALPI approved vendors will be used.
4. Purchases valued at less than \$1,000.00 may be made without obtaining bids; however, in all instances the lowest price will be obtained.
5. Purchases valued at \$1,000.00 or over require three bids/quotes and, in some instances, may require funding source approval.

6. Purchases of \$5,000.00 or more will require a public advertisement for bids and funding source approval when applicable.

Purpose:

To obtain the lowest price through volume purchases and the use of competitive bids and negotiations, to provide a central system for cost control and accountability, to afford equal opportunity for bidders/vendors, and to enable Budget and Finance Department to control and monitor expenditures of funds for each grant.

Procedures:

1. Purchases Less than \$100:

- (a) Department/Program Director determines whether the planned purchase is an allowable cost in the budget, and whether funds are available.

- (b) Department/Program Director or designate will complete the **Purchase Requisition Form** in its entirety, submitting the appropriate copy and all documentation to the Budget and Finance Department.

2. Purchases of \$100 to \$999:

- (a) Department/Program Director determines whether the planned purchase is an allowable cost in the budget, and whether funds are available.

- (b) The Purchase Order process is followed.

3. Purchases of \$1,000 to \$4,999 - BIDS REQUIRED:

The selection process for bid evaluations will consider the following:

- (1) Cost
- (2) Quality
- (3) Past experience and reputation of bidders may be considered when new selection of lowest bid.
- (4) When making selection of 'a sole source', documentation is required.

- (a) Department/Program Director determines whether the planned purchase is an allowable cost in the budget, and whether funds are available.

- (b) Department/Program Director makes discreet inquiries to vendors for prices

and information about the purchase to be made, but make no commitment. This enables you to estimate the cost when you obtain the purchase order.

- (c) Department/Program Director complete **Purchase Requisition Form** giving specifics. Program staff will submit form to their Department/Program Director; Department/Program Directors submit to Budget and Finance. Budget and Finance clears request with the Chief Executive Officer.
- (d) Action is taken by the Chief Executive Officer or the Finance Director to approve or deny the request, noting the form accordingly. If approved, **Purchase Requisition Form** is forwarded to Budget and Finance. If funding source approval is required, the Department/Program Director and/or the Budget and Finance Director will assist the Chief Executive Officer to secure approval before signing off.
- (e) Within fifteen (15) working days from receipt of the form, the Department/Program Director with assistance from Budget and Finance will solicit bids, using **Request for Bid/Quotation Form**. The Department/Program Director will assist Budget and Finance in completing the bid form with specifications to be sent to the vendor. A copy of **Request for Bid/Quotation Form** is directed to the Chief Executive Officer for approval.
- (f) Budget and Finance will open and review all bids/quotations with the Chief Executive Officer.
- (g) Once the Chief Executive Officer approves a bid, Budget and Finance is notified of the decision.
- (h) Budget and Finance inform the Department/Program Director of the decision, documenting action taken on Request for Bid/Quotation and notifying all bidders via a **Bid Denial Notice or a Bid Acceptance Notice**.

4. Purchases of \$5,000 and Over - PUBLICLY ADVERTISED BIDS REQUIRED

- (a) Determine from Budget and Finance Department whether the planned purchase is an allowable cost in the budget, and whether funds are available.
- (b) Make discreet inquiries to vendors for prices and information about the purchase to be made, but make no commitment. This enables you to estimate the cost when you obtain the purchase order.

- (c) Complete a **Purchase Requisition Form**, giving specifics. Staff will submit form to their Department/Program Director; Department/Program Directors submit to Budget and Finance. Budget and Finance clears request with the Chief Executive Officer.
- (d) Action is taken by the Chief Executive Officer or the Finance Director to approve or deny the request, noting the form accordingly. If approved, Request for Bid/Quotation is forwarded to Budgeting and Finance. If funding source approval is required, the Finance Director is responsible for obtaining it before signing off.
- (e) Within fifteen (15) working days from receipt of the form, Budget and Finance will solicit bids. Specifications will be prepared on Request for Bid/Quotation and the bids will be advertised in local news publications where appropriate. If request for bid/quotation is to be published, a copy of Request for Bid/Quotation with full specifications is sent to the Secretary of the Chief Executive Officer who arranged for the advertisement and provides a copy of the advertisement to Budget and Finance. A copy of Request for Bid/Quotation is directed to the Department/Program Director. All bids must be directed to the Finance Director.
- (f) Budget and Finance will open and review all bids/quotations with the Chief Executive Officer.
- (g) Once the Chief Executive Officer approves a bid, Budget and Finance is notified of the decision.
- (h) Budget and Finance inform the Department/Program Director of the decision, documenting action taken on **Request for Bid/Quotation Form** and notifying all bidders via a **Bid Denial Notice** or a **Bid Acceptance Notice**.

5. Sole Source Purchases

There are some situations in which "sole source" purchases including but not limited to Sub-Recipient Services and professional services are allowed. In instances where only one place of business sells or provides a particular item or service, or is selling at a price that no other vendor can match, a sole source price may be authorized.

- (a) Follow applicable procedures, Item 2, 3, or 4.

6. Contract Services, Consultants

General Definition:

A contract is defined as a written agreement between at least two parties consisting of promises which are enforceable by law.

Procedures:

The same purchasing procedures will be followed as set forth in Item 2, 3, or 4. The following additional considerations are necessary:

- (a) Consider in-house capabilities to accomplish services before seeking them outside the agency.
- (b) Limit experts' or consultant's fees to the going, acceptable rate per man day.
- (c) Seek accounting or legal services on an "as performed" basis instead of a "retainer" basis.
- (d) Determine with immediate supervisor the exact type of service or contractual agreement you needed prior to making formal request.
- (e) Provisions of contracts include the date of agreement, services to be provided, general provisions and conditions, cost effectiveness, method of payment, authorized signatures and titles, names of parties involved and the corporate seal. The Executive Department has ALPI's approved pro forma Contract for Services and Sub-Recipient Agreement which is to be used. The contract/agreement format will be reviewed for appropriate terms and provisions as needed.
- (f) Budget and Finance is the custodian of original, executed Agreements. Copies will be provided to the office of the Chief Executive Officer and appropriate Department/Program Director offices.
- (g) The Chief Executive Officer obtains formal approval from the Board of Directors for auditing services or other significant contracts.
- (h) It is the responsibility of the Department/Program Director to secure evidence that services were actually performed or that contractual work was satisfactorily completed prior to authorizing payment.

7. Consumable Supplies

Consumable supplies are ordered through the designated support staff person of each program/department. Central office consumable supplies and forms are the responsibility of the Secretary of the Chief Executive Officer.

Procedures:

Submit the appropriate purchase requisition/purchase order form to Budget and Finance (Item 1, 2, 3, 4, or 5 above).

8. Printing

Policy:

The Office of the Chief Executive Officer will order all printed materials such as stationery, envelopes, business cards, agency forms, etc., as well as all materials which are to be copied for outside distribution. Materials to be printed or copied must be cleared with the Office of the Chief Executive Officer prior to initiating purchase. The agency logo will be used whenever possible. The Office of the Chief Executive Officer or designate will maintain the log (with samples) of all forms authorized for utilization by The Agricultural and Labor Program, Inc.

Procedures:

- (a) Prepare draft of materials.
- (b) Submit to the Office of the Chief Executive Officer for technical assistance and approval.
- (c) The Office of the Chief Executive Officer checks for content, accuracy and appearance, determines whether material is in compliance with funding source and agency standards, and, when necessary, obtains approval of the funding source and the Chief Executive Officer.
- (d) Once approvals are received, follow procedures as set forth in Item 1, 2, 3, 4, or 5 above.
- (e) When materials are received by purchaser, copies will be sent to the Office of the Chief Executive Officer for review prior to making payment to the vendor.

9. Emergency Purchases (Services or Repairs)

Policy:

Regular purchasing procedures are required for purchasing services that include, but are not limited to, vehicle maintenance, repairs of equipment, building maintenance and incidentals, except in case of an emergency the following procedures are followed:

- (a) The Department/Program Director involved will telephone the Finance Director and explain what services are needed, giving the estimated cost.

- (b) In the event the Finance Director is not available, and there is a need to proceed immediately with the service, a designate may give approval.
- (c) Once approval is obtained, the emergency service purchase may be made.
- (d) Within three (3) days following receipt of the service, a **Purchase Order Form** must be completed and filed with Budget and Finance indicating 'emergency service' thereon.

10. Signs/Decals

Policy:

Signs identifying buildings, offices and vehicles of the agency and its projects will be affixed or erected and maintained in a manner which presents a professional image for ALPI at all sites.

Purpose:

To provide immediate identification of buildings, vehicles and offices by residents of the community and for prospective clients of the agency.

Procedures:

Department/Program Directors are responsible for enforcing agency policy and will make periodic inspections (at least quarterly) to ensure that appropriate identifying signs, decals, etc., are on agency and project buildings, offices, and vehicles.

11. Vehicles

Policy:

The office of the Chief Executive Officer will be responsible for the decision to acquire vehicles for use by ALPI staff for program and/or administrative purposes.

Purpose:

To identify and maintain a record of vehicles purchased and/or donated to the organization.

Procedures:

- (a) Determine from Budget and Finance Department whether the planned purchase is an allowable cost in the budget, and whether funds are available.
- (b) Make discreet inquiries to vendors for prices and information about the purchase to be made, but make no commitment. This enables you to estimate the cost when you obtain the purchase order.

- (c) Complete **Purchase Requisition Form** giving specifics. Staff will submit form to their Department/Program Director; Department/Program Directors submit to Budget and Finance. Budget and Finance clears request with the Chief Executive Officer.
- (d) Action is taken by the Chief Executive Officer or the Finance Director to approve or deny the request, noting the form accordingly. If approved, **Purchase Requisition Form** is forwarded to Budgeting and Finance. If funding source approval is required, the Finance Director is responsible for obtaining it before signing off.
- (e) Within fifteen (15) working days from receipt of the form, Budget and Finance will solicit bids. Specifications will be prepared on **Request for Bid/Quotation Form** and the bids will be advertised in local news publications where appropriate. If request for bid/quotation is to be published, a copy of the **Request for Bid/Quotation Form** with full specifications is sent to the Secretary of the Chief Executive Officer who arranged for the advertisement and provides a copy of the advertisement to Budget and Finance. A copy of **Request for Bid/Quotation Form** is directed to the Department/Program Director. All bids must be directed to the Budget and Finance Director.
- (f) Budget and Finance will open and review all bids/quotations with the Chief Executive Officer.
- (g) Once the Chief Executive Officer approves a bid, Budget and Finance is notified of the decision.
- (h) Budget and Finance inform the Department/Program Director of the decision, documenting action taken on Request for Bid/Quotation and notifying all bidders via a **Bid Denial Notice** or a **Bid Acceptance Notice**.

Specifications:

When specifications are developed for a Bid/Quotation from a vendor for vehicles, "Non-Acceptable" features which are considered "luxury" items must be identified in the solicitation.

Such items include, but are not limited to:

Dark Colors	Power Seats
White Wall Tires	Sun Roof

12. Equipment and Supplies

Purpose:

To identify and maintain a record of equipment and supplies purchased for the agency.

Inventory:

A list of all items purchased exceeding \$ 1,000, but less than the capital expenditure criteria, will be maintained by the Department/Program Director or designate.

Disposition:

Prior to the disposition of any equipment, the approval of the Grantor, Chief Executive Officer and/or the Board of Directors is required.

E. INVOICE PROCESSING

Policy:

Upon receipt of merchandise, an authorized staff member with the project, department, or administrative department must sign and verify the vendor's invoice by comparing it to the Purchase Requisition or Purchase Order and approving the items received.

Procedure:

Invoice computations and account distributions should be verified. Discounts, rebates, and other allowances are deducted from the vendor's invoice before submission for payment. The original invoice and delivery ticket (if applicable) should be submitted for payment or to support payment vouchers. The appropriate copy of the Purchase Requisition or Purchase Order should be completed, including verification of the "items received" columns, and a signed invoice or delivery ticket.

The vendor's invoice for partial shipment should be noted on the appropriate copy of the Purchase Requisition or Purchase Order to prevent duplicate payment. Purchasers will maintain a copy of the Purchase Order until the full shipment has been received.

F. VOUCHER/CHECK REQUESTS

Policy:

When a bill or invoice is approved for payment, a Voucher/Check Request is submitted to Budget and Finance. No check will be signed in advance and checks made payable to "cash" or "bearer" is prohibited. Checks will not be issued to contractors or vendors who have not received agency approval.

Procedures:

The **Voucher/Check Request** is completed as soon as possible after purchases have been made and invoice and other pertinent documents are available. No checks will be issued unless a receipt, signed invoices, bill or statement, and a copy of the Purchase Order or Purchase Requisition is attached.

Voucher/Check Requests must be submitted to Budget and Finance by Tuesday of each week by the end of the work day. Voucher/Check Requests that are incorrectly prepared are returned to the originator along with a **Check Request Form** and the reason(s) for returning the Voucher/Check Request is indicated. The Voucher/Check Request should be corrected and returned on the following Tuesday.

The Voucher/Check Request is to be properly dated reflecting invoice date; vendor's name and complete address; the check description reflects the invoice number, account number and/or other applicable information to identify payment; and coding must be filled in completely in accordance with the Chart of Accounts. Signatures of the originator and program director or supervisor must be on all Voucher/Check Requests. The originator prepares and signs the Voucher/Check Request. Execution by the Department/Program Director acknowledges that the purchase is an allowable cost in the budget and that funds are available for the expenditure.

Approved Check Request Form with attached documentation will be processed by Budget and Finance by the close of business day each Friday. The Budget and Finance Director's certification of all Check Request Form will be obtained prior to processing.

After computerized processing, checks are signed, reviewed and initialed by the Budget and Finance Director and/or designee. Budget and Finance will distribute and/or forward checks for mailing to the Executive Office Manager or designee by close of business on Friday of each week.

G. VENDOR APPROVAL

Policy:

Vendors and service contractors must be ALPI-approved. Properly executed contracts or service agreements must be on file in the Central Office of ALPI for those who provide services to the agency. The contracts or agreements must bear the signature of the Chief Executive Officer and the appropriate contractor. Checks will not be issued to non-ALPI-approved contractors or vendors.

Procedures:

- (a) Before orders for goods or services are placed, requisitioner contacts Budget and Finance to determine whether or not the vendor or contractor is approved by the agency. If so, regular purchasing procedures apply.
- (b) If vendor or contractor has NOT been approved, requisitioner must take appropriate action to have proposed vendor or service provider approved by the agency. Budget and Finance provides a **Vendor/Contract Data Sheet** to the vendor or service provider for completion.
- (c) When a **Vendor/Contract Data Sheet** is returned and processed by Budget and Finance, the contractor or vendor's name is added to the official approved vendor listing and purchaser may proceed.

H. LEASES

Budget and Finance will consider the relative cost advantage of "lease versus purchase" when appropriate. In weighing the decision as to "lease" or "purchase". Budget and Finance will document the pertinent elements evaluated as well as conclusions reached. This documentation is attached to the lease agreement kept by Budget and Finance and affixed to it.

The following points will be considered in the lease/purchase study. These are not necessarily all inclusive.

- (a) The cost of leasing over a 3-year period compared to the purchase price (including freight, installation)
- (b) Imputed interest and finance charges included in the lease payments.
- (c) Repairs and maintenance cost to ALPI under both options.
- (d) Personal property taxes cost, if applicable.
- (e) Insurance costs to ALPI under both options.
- (f) Availability of the property to ALPI without cost or substantial cost savings from other sources.
- (g) Availability of cash for purchase and lease payments.
- (h) Purchase options at various time periods.
- (i) Length of time the property will be needed.
- (j) Technological changes and the useful life of the property.
- (k) Trade-in value of the property.
- (l) Required approval of funding agencies.

Execution of the lease, lease-purchase, purchase, or other contract is the responsibility of the Chief Executive Officer. CAUTION: Legal counsel should be consulted before the contract is signed.

1. All leases will be approved and signed by the Chief Executive Officer.
2. Leases will correspond to program years whenever possible.
3. Original, executed lease agreements will be immediately forwarded to the Budget and Finance Director. Copies will be provided to appropriate programs/departments as requested.

I. BENEFICIARY COMMITTEES AND BOARD EXPENSES

1. The individual incurring expenses while carrying out duties for the agency will complete and sign **the Authorization to Incur Travel Expenses Form** .
2. The **Authorization to Incur Travel Expenses Form** will be approved by the Chief Executive Officer.
3. Upon completion of the trip, the Voucher for Reimbursement of Expense Report Form with a Trip Report Form will be attached to a Check Request and submitted to the Chief Executive Office or designate for approval. The approved Check Request along with the appropriate forms will be submitted to the Finance Department for processing and payment.
4. The reimbursement checks will be prepared in accordance with Section VI - Voucher/Check Requests.
5. Reimbursement checks will be prepared in accordance with Section VI, Check Request Form.

THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED
Business Travel Expense and Reimbursement Policy and Procedure
MANUAL

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 A. The Federal Travel Per Diem Regulations

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THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED
Business Travel and Expense and Reimbursement Policies and Procedures

INTRODUCTION

The policies and procedures herein, shall govern all travel at the expense of **THE AGRICULTURAL AND LABOR PROGRAM, INC** and the various programs it currently administers and/or directly operates. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement is claimed in accordance with the policies and procedures herein.

The allowances for travel expenses are set by **THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED** Board of Directors as determined by the various corporate, state and federal funding sources' travel expense reimbursement rules and regulations.

A unified expense rate for mileage, lodging and meals will be applied agency wide whenever possible. However, limited funding as well as limitations within prescribed State and Federal travel expense reimbursement rules and regulations makes this impossible to do. If the latter is the case, the applied expense rates will be governed by current State and/or Federal Per Diem Regulations. Otherwise, the following travel expense rates will be applicable Agencywide.

**1) The Mileage Rate will be @ 44.5 cents per mile or at the current rate as per approved by the Board of Directors;

2) The Lodging and Hotel Daily Rate will be applied in accordance with the current **Federal Per Diem Regulations** with the following exceptions.

- If Lodging is reserved in a hotel where pre-approved activity is scheduled, advance or reimbursement rate will be the actual cost (room rate plus applicable taxes).
- If prior reservation is made in the area of a scheduled activity for which travel is approved, which reservation is not honored upon arrival, and are motels/hotels have no vacancies, reimbursement will be the actual per night cost for secured lodging. **THIS EXCEPTION MUST BE DOCUMENTED.**

3) The Meal Allowance Rate will be applied in accordance with **THE current FEDERAL TRAVEL Per Diem Regulations** with the following exceptions.

- Meal cost incurred when travel destination begins and ends within a normal work day (8:00 A.M. - 5:00 P.M.) **IS NOT REIMBURSABLE.**
- Meal cost that is included in a conference registration will be deducted from the daily meal allowance rate.
- Tips for meal service in addition to the maximum daily meal allowance rate **IS NOT REIMBURSABLE.**

All other reimbursable travel costs (i.e. transportation, toll, parking, etc.) not referenced in this manual, must be reviewed and approved prior to the cost being incurred.

The limits on travel expenses set forth herein are not to be construed as an indication of amounts that should be spent. Instead, these are maximum amounts above which reimbursement will be questionable. All travelers traveling on behalf of the agency should be as conservative as good judgment and circumstances permit and expenses will customarily run less than the maximum limits.

The success of **THE AGRICULTURAL AND LABOR PROGRAM, INC.** depends on how well we can demonstrate our ability to deliver needed services to our clients and manage our financial resources. Adherence to the policies and procedures herein, should do much to demonstrate a sound and viable operation to our various funding sources.

Sincerely,

Deloris Johnson
Chief Executive Officer

THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED
Business Travel and Expense and Reimbursement Policies and Procedures

PURPOSE

The objective of this manual is to state the travel policy and procedures that are to be adhered to by all persons traveling on behalf of **THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED** and its programs hereafter referred to as the "**Agency**".

SCOPE

The scope of the policy and procedures herein, shall cover the agency's Board of Directors, Chief Executive Officer, Head Start Policy Council Members, Regional Advisory Council Members, Employees, Consultants and all other persons hereafter referred to as the "traveler" authorized and approved to travel on behalf of the Agency. No authorized traveler will be reimbursed nor will payments be made by the Agency on their behalf for excessive personal living expenses, gifts, entertainment, or other personal benefits.

I. AUTHORIZATION TO TRAVEL

A. All travelers traveling at the expense of the Agency must have official authorization prior to the anticipated travel being performed. Authorization levels are as follows:

TRAVELER	REQUEST SUBMITTED TO	AUTHORIZED BY
Board of Directors	Chief Executive Officer via Executive Office Manager	Board of Directors
Chief Executive Officer	Board of Directors via Board Chairperson	Board Chairperson
Head Start Policy Council Members	Head Start/EHS Director	Head Start/EHS
Regional Advisory Council Members	Regional Advisory Council Staff Liaison	Chief Executive Officer
Senior Management Staff	Chief Executive Officer	Chief Executive Officer
Program Managers and all Employees	Dept./Program Immediate Supervisor	Senior Director
Consultants and others	Chief Executive Officer	Chief Executive Officer

B. All travel authorized in accordance with the authorizations process detailed above will be guided by the following considerations:

1. The travel must be necessary for the proper execution of Agency business or in justifiable pursuit of Agency's educational and training objectives.
2. Ascertainment that selection of person(s) to attend meetings, conferences, training, etc., will coincide closely with employee performance needs and/or will enhance the mission and goals of the Agency.
3. Consideration of the minimum rather than the maximum number participants necessary to fulfill the above stated considerations.
4. Any special meetings, committee appointments, etc., where a Board Member, Policy Council member or Advisory Council member is requested to attend must be appropriately authorized and approved prior to the actual travel being performed.
5. Priority will be given to the Chairpersons of the ALPI Board of Directors, Head Start Policy and Regional Advisory Councils to attend meetings, conferences, seminars, etc., on behalf of their respective members.

- C. The following forms must be prepared and submitted to properly execute the authorization and approval process:
1. **The Authorization to Incur Travel Expenses** form (TF 93-0001) must be completed by all travelers to summarize all anticipated travel and travel expenses for the month.
 2. **The Travel Expense Estimate** form (TF 93-0002) must be completed with appropriate copies submitted along with **The Authorization to Incur Travel Expenses** form (TF 93-0001) to activate a request for a travel expense advance and/or to justify all anticipated travel expenses for each trip planned for the month.
- D. The request for travel by all travelers is officially approved when **The Authorization To Incur Travel** form (TF 93-0001) and **The Travel Expense Estimate** form (TF 93-0002) have been properly signed, certified by Budget and Finance and approved by the Chief Executive Officer.

II. TRAVEL EXPENSE ALLOWANCES

- A. **Transportation** must be by the most direct route possible and any individual or group traveling by an indirect route is subject to bearing the extra expense incurred.
1. **Common Carrier**
All travel arrangements via a common carrier shall be based upon the most economical rate to the Agency.

Advantages must be taken of round trip rates, advance reservations and ticket purchase, Saturday Night stay, etc. No traveler shall use a mode of transportation that is more expensive than the cheapest round-trip airline ticket, Bus ticket or train ticket. If more expensive accommodations are required during an approved trip, an explanatory notation must be made on **The Travel Expense Estimate** form (93-0002). The traveler's copy of the common carrier ticket must be attached to the reimbursement and/or travel expense report.
 2. **Limousine Services and Taxi Fares**
If authorized travel is by a common carrier, limousine, shuttle, or taxi, fares necessary to transport the traveler to and from the airport or station is a reimbursable cost. An official receipt (signed by the driver) for each fare must be attached to the Travel Expense report.
 3. **Agency Vehicles**
Agency vehicles will be assigned to ALPI Employees upon approval of the Chief Executive Officer. Agency vehicles can only be used by employees conducting approved ALPI business. No agency vehicle is to be used for personal business unless written approval is obtained from the Chief Executive Officer via **The Agency Vehicle Usage Authorization** form (TF 93-0008). Each driver of an Agency vehicle is required to complete an **Agency Vehicle Mileage Trip Log** form on daily activities. This log is to be submitted to Budget and Finance with a copy forwarded to the Chief Executive Officer at the end of each month (by the 2nd working day). All drivers authorized to drive a Agency Vehicle, must maintain a good driving record, a valid driver's license and be eligible for coverage under any applicable agency insurance.
 4. **Personally Owned Vehicles**
All travelers using their personally owned vehicle for work-related travel (in-town or out-of-town) shall be reimbursed at the approved mileage rate. All mileage to be claimed via **The Voucher For Reimbursement of Travel Expenses** form (TF93-0004) must show destination, purpose of travel, date/time of departure and return. Claims for gas, oil, parts or repair cost are not reimbursable expenses. Mileage computation shall be calculated using official road map and mileage charts

published by The State of Florida Department of Transportation or Map Quest. The request, authorization and approval process will be guided by the following considerations:

- a. All agency business travel using a personally owned vehicle must be officially authorized and approved via **The Authorization To Incur Travel Expenses** form (TF 93-0001) prior to any travel being incurred.
- b. Employees traveling from home to designated pre-approved work sites cannot receive reimbursement, if the mileage is less or equal to the employees regular home to permanent work site mileage.
- c. Where two or more travelers are traveling in the same vehicle, only one person may claim transportation reimbursable costs. Where more than one agency employee is traveling to the same destination for the same scheduled activity, staff members are encouraged to share personally owned vehicle means.
- d. Before approving a driver to use their own personal vehicles to conduct Agency business (i.e., hauling children, transporting other persons for the Agency) the existence of valid insurance and a valid driver's license must be verified.

5. Rental Car

Authorization for rental car expenditures must be approved via **The Travel Expense Estimate** form (TF93-0002) prior to the actual rental. If authorization is granted, the traveler shall attach an official rental receipt to the Travel Reimbursement and/or Actual Travel Expense Report.

6. Toll Fees

Fees paid for toll during official Agency travel is reimbursable. Receipts for any reimbursement claims must be attached to **The Voucher for Reimbursement of Travel Expenses** form (TF 93-0004).

B. Lodging

Lodging cost incurred during overnight travel is a reimbursable expense. The maximum reimbursable expense for overnight lodging will be regulated by **The Federal Travel Per Diem Regulations** (see Appendix B) appropriate DOE travel rules and regulations and/or the Agency approved policy. To receive an advance for anticipated lodging cost, the traveler must include the cost in the official request to travel along with supported documentation. Hotel/Lodging receipts must be stamped "paid" and attached to the travel Reimbursement Claim report and appropriately submitted, certified by Budget and Finance and approved by the Chief Executive Officer before reimbursement is made and/or a travel advance can be cleared.

C. Reimbursable Meal Cost

1. Meal Cost incurred when travel destination is in an assigned work area and/or within the traveler's normal work day is not reimbursable. Any exception must be reviewed and approved by the Chief Executive Officer prior to the cost being incurred.

2. Approved Meal Cost for out-of-town travel and/or overnight stay is reimbursable under the following conditions:

Time Schedule		MEAL TYPE
6:30 AM	8:00 AM	BREAKFAST
10:00 AM	1:30 PM	LUNCH
5:00 PM	7:00 PM	DINNER

3. When a meal cost allowance is approved via **The Authorization to Incur Travel Expenses** form (TF 93-0001), an appropriate meal allowance rate will be applied. The traveler's time schedule (Departure Time and Return Time) will be used to determine the anticipated and/or actual meal cost allowance. The cost determined will be prorated accordingly. **NO MEAL COST** will be reimbursable if the appropriate authorization and approval is not secured by the traveler prior to incurring the cost.

D. Miscellaneous Travel Expenses

1. Registration Fee

Registration fees in the amount necessary to qualify individuals to attend conventions, meetings, conferences, and banquets are reimbursable cost provided attendance at such function is appropriately authorized as an Agency sponsored and/or business related function.

Appropriate documentation (receipt, invitation, etc.) must be submitted with the travel advance request and/or reimbursement claim. **TRAVELERS SHALL NOT BILL AGENCY FOR MEAL COST COVERED UNDER A REGISTRATION FEE.**

2. Expenditures for Tips, Gratuities, etc.

Tips and gratuities are allowable reimbursement expenditures with the following exceptions;

- a. Tips for meal service in excess of the maximum meal cost daily rate **ARE NOT REIMBURSABLE.**
- b. Tips for airport porter service, Hotel bellman service, Taxi Service, etc., for baggage handling assistance are reimbursable up to \$1.00 per bag and/or up to \$25.00 per trip for all such services.
- c. Expenditures for valet service, entertainment, alcoholic beverages, etc. are considered personal rather than official expenditures and will not be subject to reimbursement.

All other expenditures for tips, gratuities, etc., must be appropriately authorized and approved prior to the cost being incurred.

3. Telephone Calls

Telephone calls included as hotel/motel/lodge expenses cannot be claimed as an official expense except when such calls are documented as business calls showing nature of call, person telephoned, telephone number, city, state, and time of call. All Agency employees, Board members, Advisory Council members and Head Start Policy Council members will be allowed up to \$3.00 per day for personal calls home. **APPROPRIATE DOCUMENTATION** must be submitted with the travel reimbursement claim.

4. **Automobile Parking**

Meter parking expense incurred is not reimbursable. Expense incurred when using a parking garage and/or parking arrangements with an on-site attendant is reimbursable if:

- a) Length of parking time corresponds with agenda of official activity for which travel is approved.
- b) Parking ticket showing actual cost, date of transaction and parking lot attendance signature, when appropriate.

III. TRAVEL EXPENSE ADVANCES

- A. An advance to incur travel expenses must be requested and processed in accordance with Section I of this manual.
- B. All travelers requesting a Travel Expense Advance will be required to adhere to the following procedures:
 1. Funds received must be accounted for at the conclusion of the trip. Any amount that cannot be properly documented and/or accounted for by an official receipt must be refunded to the Agency by cash or check. Such refund must be submitted with the Travel Expense Report.
 2. If the actual authorized travel expenses are in excess of the travel advance, the Agency will reimburse the traveler for the excess amount. Such request must be supported by proper documentation and official "paid" receipts.
 3. If authorized travel (a projected trip) is canceled after a travel expense advance has been obtained, the traveler must prepare a travel reimbursement report no more than five (5) days after cancellation notification. Such report and the appropriate refund must be submitted along with the Travel Expense Report.
 4. All travelers receiving a Travel Expense Advance must clear the advance within 30 days after the official travel has been completed. All travel expense advances not cleared after a 30 day period will be subject to a direct payroll deduction and/or a denial of any future travel expense advances until the outstanding advance is cleared and/or properly accounted for.
 5. All delinquent travel expense advance accounts of all travelers traveling on behalf of the Agency will be reviewed by the Chief Executive Officer in consultation with Budget and Finance and the appropriate senior manager with same reported to the ALPI Board Executive Committee when necessary to appropriately account for all travel related funds due to the Agency in a timely manner.
 6. The following forms must be prepared and submitted to properly execute the authorization and approval process as prescribed in Section I of this Manual, to request and/or to clear a Travel Expense Advance.
 - a. The **Travel Expense Estimate form (TF 93-0002)** must be completed for each trip requiring Travel Expense advance with appropriate copies of same, submitted along with **The Authorization To Incur Travel Expenses form (TF 93-0001)** and a **Voucher/Check Request Form (TF 93-0003)**.

- b. To clear a travel expense advance, the traveler must complete and submit:
 - 1. The Expense Report (Actual) section of **The Travel Expense Estimate** form (TF 93-0002).
 - 2. **The Trip Report** Form (TF 93-0005).
 - 3. **Voucher for Reimbursement of Travel Expenses** Form (TF 93-0004).
 - 4. **Corporate Care Billing/Expense Report Summary** Form (TF 93-0007) when applicable.
 - 5. Copy of the **Authorization To Incur Travel Expenses** (TF 93-0001).

IV. TRAVEL EXPENSE REIMBURSEMENT REPORT

- A. All travel expense reimbursement reports and requests must be properly authorized, in accordance with Section I of this manual, certified for payment by Budget and Finance and approved by the Chief Executive Officer before payment is made and/or a travel expense advance can be cleared.
- B. Applicable forms as prescribed in Section III, must be completed and submitted by all travelers to complete the Travel Expense Reimbursement Report process.

V. CORPORATE CREDIT CARDS

- A. Corporate Credit Cards will be provided to designated travelers for the sole purpose of conducting official corporate business.
- B. No personal items and/or expenses are to be billed to any Agency (directly billed) Corporate Credit Cards including but not limited to, (Telephone Credit Card, Gas/Service Credit Card, American Express, etc.).
- C. All transactions charged to a corporate credit card shall be reported in accordance with the process prescribed in Section I and III of this manual.
- D. Improper use of a corporate credit card will result in loss of usage privilege. All such cases will be reviewed by the Chief Executive Officer in consultation with Budget and Finance, the appropriate senior manager with same reported to the ALPI Board Executive Committee when necessary, to appropriately recover any improper or unauthorized funds charged to a corporate credit card.
- E. Each traveler and/or employee issued a Corporate Credit Card will be required to read and sign a copy of the **Corporate Credit Card Usage Authorization** form (TF 93-0009) with a copy of same forwarded to Budget and Finance for future reference and payment certification.

VI. TRAVEL ARRANGEMENTS AND LOGISTICS

- A. In order to control cost and qualify for volume discounts, all travel arrangements for all authorized travelers must be coordinated with the Executive Secretary and/or authorized designate. This includes reservations for common carrier transportation (i.e., airline, train, bus, rental care, etc.) and lodging as well as arrangements for Agency sponsored meetings, training sessions in hotel facilities and/or direct billing accounts
- B. All such arrangements must be appropriately authorized and approved in accordance with Section A of this manual before any travel arrangements are confirmed and/or travel expenses obligated.

APPENDIX A

- TF 93-0001 AUTHORIZATION TO INCUR TRAVEL EXPENSES
- TF 93-0002 TRAVEL EXPENSES ESTIMATE
- TF 93-0003 VOUCHER/CHECK REQUEST
- TF 93-0004 VOUCHER FOR REIMBURSEMENT OF TRAVEL EXPENSES
- TF 93-0005 TRIP REPORT
- TF 93-0006 AGENCY VEHICLE MILEAGE TRIP LOG
- TF 93-0007 CORPORATE CARD BILLING/EXPENSE REPORT
- TF 93-0008 AGENCY VEHICLE USAGE AUTHORIZATION
- TF 93-0009 CORPORATE CREDIT CARD USAGE AUTHORIZATION

APPENDIX B

- A. The Federal Travel Regulations (current)
- B. State DOE Travel Regulations (current)

**Advisory Council
Policy Committee
&
Policy Council
Handbook**

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Councils Handbook

Purpose of Handbook

This handbook has been prepared as a guide for Council members to assist them in carrying out their functions as advisors to the Agricultural and Labor Program, Inc. (herein referred to as ALPI. It contains information on: (1) the purposes and functions of the Councils, (2) the importance of their work as volunteers, (3) guides on how to organize themselves to carry out their work, (4) suggested ways to identify and solve problems, (5) techniques for planning their work, and (6) strategies for gaining support for the organization.

A section has been included on how to conduct meetings and the use of committees to perform tasks for the Councils, and the value of completion of assigned tasks by committees. Careful thought has been given to clarifying advisory functions, and the distinctions between those bodies that are advisory and those bodies that have decision-making responsibilities.

ALPI, like many organizations of its type, gains great benefit from advisory groups that are representative of the people the organization serves.

Functions of Councils

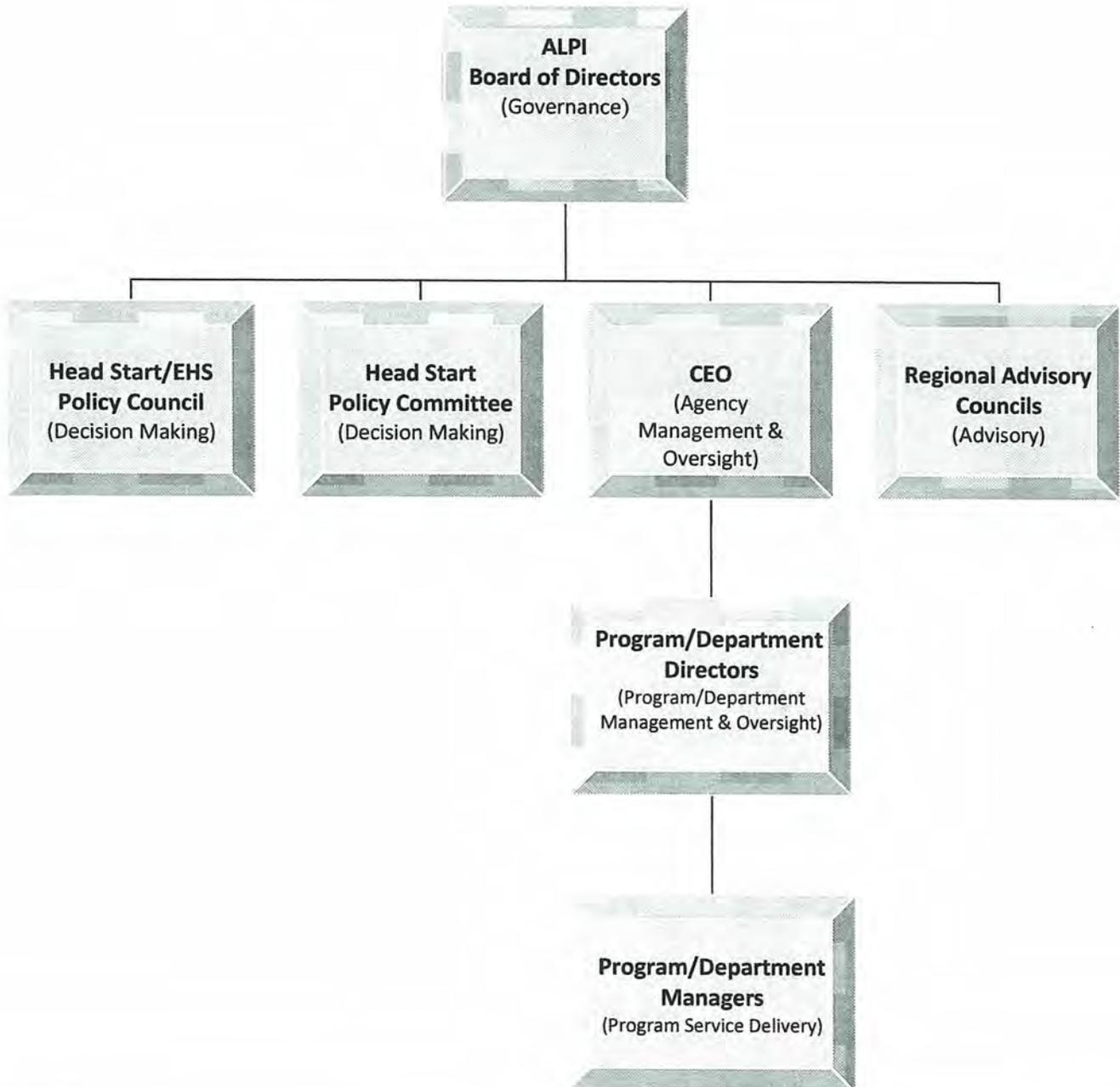
Councils to the organization serve important functions, and although their purposes may vary according to the mission of the organization, they are vital to the success of the organization. Councils: (1) are good will ambassadors, (2) are knowledgeable about the missions of the organization, (3) support the organization, (4) are vital communication links to the communities that the organization serve, and (5) seek at all times to follow the rules designed by the organization. ALPI is a comprehensive social services organization. Its mission is to help improve the general quality of the lives of those individuals in the counties in the State of Florida in which it has programs. ALPI does not generate money on its own to operate the programs which serve the targeted population. It must seek financial resources from public (government), private (corporations), and charitable sources (United Way/Foundation). Its services, programs and operations all depend on gifts and grants from public and private organizations. There are never enough financial resources for ALPI to meet the needs of all the targeted population. However, ALPI does seek constantly to acquire more resources to serve more people.

Unlike the Policy Council and Policy Committee who are decision makers, the advisory councils do not make decisions for the organization. They advise decision-makers who may use the advice given them in making decisions for the organization. The Advisory Councils share their views, give suggestions and advice to the Board members of ALPI. Council members from time to time participate in surveys, needs assessments and assessments of effectiveness and performance of the organization. Information obtained through surveys, advice on selected issues and other forms of information gatherings are used by Board members in making policies for the organization and by the staff of ALPI in designing and operating programs.

Governance . . . Roles and Responsibilities

The Agricultural and Labor Program, Inc. (ALPI) is a non-profit Organization that is governed by an 18 (voting) member board of Directors. The ALPI Board membership consists of representatives from the Regional Advisory Councils, the Head Start Policy Council and the community at large. The ALPI is governed in accordance with its established By-laws which include the function and purpose of the Councils.

AGENCYWIDE GOVERNANCE & MANAGEMENT FUNCTIONS AT A GLANCE



Further, while considering the flow of information (as well as roles and responsibilities), it is critical to note that all reports made to the Board of Directors from Councils should specifically include what is taking place in the area being served by each individual Council. To facilitate the flow of information, all reports that are presented to the Board will also be made available to the Advisory Councils.

Although questions and/or comments are welcomed, it is important to understand that the Council's (except the Policy Council and Policy Committee) main focus and function should be that of *advisement and/or recommendation to the Board*. This is an extremely important function as it provides input directly from the areas being served by ALPI, thus making the Councils the eyes and ears of the Board. However, the decision making function itself is reserved solely for the Board.

If the above purposes and functions of the ALPI Councils are understood and followed, the collective energy of councils, board of directors, and staff can make a significant contribution to the achievement of the mission of ALPI.

Ready? Set? Go!



Organizing to Do Your Work

Most organizations divide their work among its members in order to systematically perform tasks and place responsibility. Each Council can be more effective if it sets up committees in addition to its officers. Such committees may be the following: Publicity Committee, Fund-Raising Committee, Special Events Committee, Public Official Contact Committee and Program Committee.

Use and Functions of Committees

A committee is a body of one or more persons appointed by the Council Chairperson or elected by the Council to consider, investigate, or take action on certain matters or subjects. Committees that are organized and effective in their work can save the Council valuable time. Time is saved because the committee performs much of the leg work which eliminates the need for the full Council to go over every detail of every issue. After the work of the committee is completed, it is important to report the information it has gathered to the Council. Below are some reporting procedures committees should follow:

- Keep the report as brief and to the point as possible without negatively affecting the quality of the information.
- The report should be distributed to appropriate Council members before the meeting of the full Council.
- Indicate if the report is for information purposes or if some action is required by the full Council. If action is required, the committee should make a recommendation on the action the Council should take.
- If the Council decides to adopt the committee's report, the Council may vote to accept the report as its own. The report then becomes the Council's official position on the issue.

The committee chairperson plays a very important part in the successful functioning of the committee. If you have been selected to chair a committee, but you are not clear about how to perform as a chairperson, here are a few suggestions:

As chairperson you are responsible for ensuring that the committee functions. This does not mean that you are to do all of the work yourself. You should call meetings, set the agenda, stimulate discussion and record decisions and recommendations.

- Clarify your assignment. Be clear concerning what the Council has asked the committee to do.
- Be sure the committee members stay focused on the objectives to be achieved.
- Limit your activities/work to that which has been specified by the Council.

In ordinary organizations there are two types of committees:

- (1) Standing Committees:** Standing committees remain in existence permanently or for the life of the group that established them. Standing committees are authorized specifically under the organization's by-laws.
- (2) Special Committees (Select or Ad hoc):** These committees are appointed as the need arises to carry out a specific task at the completion of which it automatically ceases to exist. A special committee should not be appointed to perform a task that falls within the assigned function of an existing standing committee.

Conducting Meetings

Business meetings are typically the most widely recognized form of assembly used by organizations. Meetings allow members to come together in an organized fashion to discuss and decide upon organizational issues. In order for meetings to be carried out in an orderly manner, it is important for members to observe established rules. Rules establish how members of an organization are to conduct themselves in a meeting setting. A discussion of basic rules of order which should be observed when conducting a formal meeting follows.

Rules of Order

Call to Order – When the time of the meeting has arrived, the presiding officer opens it by calling the meeting to order.

Order of Business – Determine the order in which business is conducted in a meeting:

1. Reading and approval of minutes
2. Reports of officers, boards and standing (these are permanently established) committees
3. Reports of special (select or ad hoc) committees. (These are committees appointed to exist only until they have completed a specified task.)
4. Unfinished business (matters previously introduced which are carried over from the preceding meeting)
5. New business (matters which are initiated in the present meeting)

Obtaining and Assigning the Floor – Before an individual can make a motion, he/she must be recognized by the chair. This indicates that the recognized person has the exclusive right to be heard at the time. To claim the floor, an individual rises at his/her place when no one else has the floor, faces the chair, and asks for the floor or to speak. If two or more members rise at the same time, the individual who rose and addressed the chair first is entitled to be recognized. If at any time the chair makes a mistake and assigns the floor to the wrong person, such an error is corrected by raising a point of order.

Making a Motion – There are three (3) steps by which a motion is normally brought before the assembly:

1. A member *makes* the motion.
2. Another member *seconds* the motion.
3. The chair *states the question on the motion*.

Only the chair can place a motion before the assembly. When the chair has stated the question, the motion is *pending*. It is then open to debate. If the assembly decides to do what the motion proposes, it *adopts* the motion or the motion is *carried*. If the assembly expressly decides against doing what the motion proposes, the motion is *lost or rejected*.

Planning for Work and Action

All kinds of organizations engage in planning to reach objectives and goals and to carry out their missions. ALPI Councils engage in planning activities in at least two ways. The Councils are called upon from time to time to participate in the planning activities of ALPI, such as the five-year plans and adjustments to those plans. The Councils engage in planning when they decide on their ongoing activities within their respective regions.

It has been long established that systematic planning is a fundamental first step to use resources wisely and to accomplish goals. The outline presented below includes basic steps and activities that are essential to orderly planning:

Sequential Stages of Systematic Planning

- I. Examine and understand the mission of ALPI
 - A. Familiarize yourself with the ALPI five-year plan
 - B. Develop an understanding of how the Councils are related to ALPI and the five-year plan
 - C. Brainstorm (talk, discuss, speculate) on how the Council and its members can assist ALPI in carrying out the goals of the five-year plan
 - D. Agree on what the Council will do and what each member will do in supporting the achievement of the goals of the five-year plan.

- II. Establish a set of objectives/goals to be achieved and prioritize these goals/objectives.
 - A. Decide on the objectives/goals and determine if they fit with the mission of ALPI.
 - B. Collect information about the goals/objectives.
 - C. List the goals/objectives in priority order.
 - D. Write the objectives/goals clearly.
 - E. List steps to be taken and determine needs, i.e. step 1, step 2, step 3, etc.
 - F. Raise questions and list tentative answers, e.g. What needs to be done? What people should be contacted? What materials and funds are needed?
 - G. Record progress and revise action steps as necessary.
- III. Assess the area in which your council is located.
 - A. Gather information on the population in your area. (Key individuals and groups are important to the success of all your activities.)
 - B. Determine which individuals and organizations are important to your particular objective/goal.
 - C. Interact with important individuals and organizations within the ALPI target population and those outside of ALPI.
- IV. Develop strategies and action plans for achieving goals/objectives.
 - A. Assign individuals to each task and develop action steps for each individual. Record all steps.
 - B. Check frequently on the progress of each step.
 - C. Maintain open communication.
- V. Agree on timetable for implementation of objectives/goals.
 - A. Write out the timetable – set time and dates of each activity.

- B. Determine in the timetable what can be done when and adjust timetable when necessary.
 - C. Coordinate all activities – reprioritize and follow up on all steps and actions to reconcile for delays.
- VI. Create an information network and flow system to monitor all actions.
- A. Examine information to assess where you are and where you are going.
 - B. Share all information frequently.

Problem Solving

As individuals we all experience problems and as a result we all at some point engage in problem solving. As Council members, the problems that you may encounter in the performance of your duties on a day-to-day basis are varied. The problem to be solved could be as simple as identifying the available services that ALPI could provide for a needy family, or as complex as solving problems which could result from the expansion of an existing service area. Regardless of the problem to be solved, there are problem-solving steps which can be used to make it easier. By simply following the steps provided below, problems which you encounter can be broken into manageable pieces and resolved.

Problem Solving Steps

Step 1: Identifying and Selecting a Problem

A problem should be identified and well defined. The definition should be expressed in terms of how it affects the operation of an organization or interferes with the activities of a group.

Step 2: Analyzing the Problem

The facts about the problems and the causes of the problem should be determined.

Step 3: Generating Possible Solutions

Evaluate the alternative solutions by considering the pros and cons of each and the consequences that may occur from the solution selected.

Step 4: Select and Plan a Solution

Continue the process of weighing the pros and cons of options considered in Step 3. Explain why the solution chose was selected and begin planning actions and solutions to the problem.

Step 5: Implement the Solution

Consider who is to be notified about the decision, determine the steps to be taken to implement the decision in sequential steps (1, 2, 3, 4) and assign individuals to carry out action steps 1, 2, 3, 4.

Step 6: Evaluate the Solution

Observe, inquire and get feedback from those affected by the decision. If the decision was made to improve a situation or problem that can be measured in output, cost or other measurable means, use such measure to determine if the need, problem or situation has been met, solved or improved.

The problem-solving process is not difficult to understand and can be applied to almost any kind of problem by almost any kind of group. The process can be led by a facilitator or a manager, or it can be used by a group without a leader.

The Problem Solving Process



As illustrated above, the sequence of problem solving steps is:

- Step 1 – Identify and Select a Problem
- Step 2 – Analyze the Problem
- Step 3 – Generate Potential Solutions
- Step 4 – Select and Plan a Solution
- Step 5 – Implement the Solution
- Step 6 – Evaluate the Solution

Gathering Resources and Support

Non-profit service organizations must seek resources and support from many sources in order to carry out their work. The ALPI staff and board of directors are constantly engaged in obtaining support for its programs. Councils in consultation with and approval of the staff and board may engage in supportive efforts for ALPI and their own activities. All such efforts must be coordinated to avoid conflicts and to ensure that ALPI and all of its units work together toward common goals.

Support may come in the form of money and material gifts or in the form of volunteer efforts from governmental and political sources. Depending upon the kind of resources and support that are needed, Councils may seek, through coordinated arrangements with ALPI, support from community sources, through cooperative relationships and political activities. Listed below are groups and organizations of the three types given above that are often sources of support.

Community Resources

1. Civic Organizations
2. Sororities and Fraternities
3. Businesses
4. Professional Societies and Associations
5. Churches
6. Universities and Community Colleges
7. Foundations and Individual Philanthropists
8. County Agencies
9. City Departments

Cooperative Relationships

1. Cooperate with community improvement groups.
2. Communicate and publicize your programs to the community.
3. Establish an information bank containing information about ALPI Programs and other community programs.

Political Action

1. Register, vote and encourage others to register and vote.
2. Identify public officials in your city, county, district and state.
3. Develop knowledge and understanding of how the political system works.
4. Get to know the staff of your elected officials.
5. Monitor the legislative activities on legislation that affects your community.

6. Gain knowledge about proposed programs, projects and funds available to your community.
7. Communicate through the mail with your elected officials.
8. Organize trips and visits to meetings of the city and councils and to sessions of the State Legislature.

All of the above suggested activities must be planned and coordinated with ALPI in order to be fully effective.

APPENDIX A

MEETINGS

❖ Regular Meetings

Regular meetings of the **Head Start/Early Head Start Policy Council and Head Start Policy Committee** shall be held once a month except July and August. The exact meeting date and time will be determined yearly by a majority vote during the annual Orientation of new members. Monthly meetings will begin in October of each year. (See Head Start/Early Head Start By-Laws for details)

Regular meetings of the **Regional Advisory Councils and the ATEC Advisory Committee** shall be held not less than four (4) times annually, inclusive of the council's annual meeting. No meetings will be held July and August. The exact meeting date, time and location will be determined yearly by a majority vote during the annual Shared Governance Orientation. Each meeting shall be held at least 30 days prior to each board meeting. All Meetings shall be open to the public unless exempt from Section 286.011, Fla. Stat.

All meetings shall be conducted in accordance with the most recent edition of "Roberts 'Rules of Order."

❖ Special /Call Meetings

There will be special meetings of the **Policy Council and the Policy Committee** only when there is a need, and the Chairperson shall call all special meetings at least 48 hours in advance. (See Head Start/Early Head Start By-Laws for details).

Special or emergency meetings of the **Advisory Councils and Advisory Committee** shall be held when called by the Chairperson of the Council/Committee, or by any three (3) Council/Committee Members. Notice of all such meetings will be provided not less than twenty-four (24) hours prior to such meeting.

❖ Notice of Meetings

Written notices shall be prepared by designated management staff in consultation with the Chairperson and mailed to each **Head Start/Early Head Start Policy Council/Committee member** at least (5) days prior to the date of each regular meeting. A copy of the agenda for the meeting will also be enclosed. Notices of special meetings shall be mailed to each member at least 48 hours prior to the date of the meeting, with an explanation for the special meeting. (See Head Start/Early Head Start By-Laws for details).

Written notices shall be prepared by designated management staff in consultation with the Chairperson and mailed to each **Advisory Council/ Committee member** at least (5) days prior to the date of each regular meeting. A copy of the agenda for the meeting will also be enclosed. Notices of special meetings shall be mailed to each member at least 24 hours prior to the date of the date of the meeting, with an explanation for the special meeting. Additionally, the notice will be prominently displayed on the agency's website and in the area of the agency's offices set aside for that purpose.

❖ Quorum

A majority of 51% of the members of the Policy Council/Committee, Regional Advisory Council and Committee must be present to constitute a quorum in order to transact business for regular or special meetings. An attendance Roster must be completed and included in the Council/ Committee report to the Board.

❖ Meeting Minutes, Reports, Recommendations

Meeting Minutes must be submitted to the designated management staff person at least seven (7) days following the Council/Committee meeting. The minutes will be included in the Council/Committee's report along with attendance report, recommendations and other relevant documentation and submitted to the Board of Directors prior to the Board meeting. Each council must use the Board's approved reporting format and attendance sheet. (See Attachments 1 & 2).

❖ Special Events and Fundraising Activities

All Special events and fundraising activities must be submitted to the Board of Directors for review and approval consideration at least 120 days before the date of the event. Sample of past events included the following:

- Scholarships
- Christmas Baskets/gift cards
- Raffles

❖ Allowances and Reimbursements

No Council/Committee member shall receive and compensation for any service that she/he may render as a Council/Committee member. Members may be reimbursed for her/his actual expenses, including babysitting, travel, etc., incurred in the performance of her/his duties as Council/Committee member.

❖ Removal

The Council/Committee may, declare the office of a member of the Council/Committee vacant in the event such member shall be absent from three (3) regular Meetings unless such Member provides written notification to the Secretary of the Council after the second absence and said absence(s) are excused by the Council/Committee. Said notification must be submitted no later than seventy-two (72) hours prior to the scheduled Council/Committee meeting. If the member is unable to provide the requisite notice, the Chairman of the Council/Committee will have the authority to make the determination as to whether the absence is excused. Designated management Staff will notify the Member by letter of this impending action after the second absence.

Any Member may be removed by a two-thirds vote of the Council/Committee, for cause, at any regular meeting thereof, provided the member is informed of the basis of the complaint against her/him in writing, at least seven days prior to the meeting and is given an opportunity at the meeting to respond to the allegations, prior to the Council/Committee's vote.

APPENDIX B

COUNCIL ELECTION PROCEDURES

To ensure the Agricultural and Labor Program Compliance with all applicable laws and funding regulations, all existing Regional Advisory Councils are hereby requested to abide by the following bylaws articles and procedures regarding the eligibility, term of office and election of 2011 Regional Council Members and officers.

Purpose:

In accordance with the Bylaws of The Agricultural and Labor Program, Incorporated Article II Section 1 *The specific purpose for which this Corporation is formed is to assist agricultural workers, disadvantaged, disenfranchised persons and other interested members of the community and their family members in cooperatively meeting their needs for better health, education, social services, home life, economic opportunities and human relations. In furtherance of this purpose, the Corporation shall have all powers conferred by Chapter 617 of the Florida Statutes, including but not limited to the following powers: ...to create an Advisory Council in each of the four regions currently in operation, Southern, Eastern, Central and Northern, and to continue same in any new region that may be created for the purpose of aid and counsel to the Board of Directors...*, all existing Regional Advisory Councils are to adhere to the Bylaws of The Agricultural and Labor Program, Incorporated following Article, Sections and Procedure Clarifications regarding the eligibility, term of office and election of 2011 Council Members and Officers.

DEFINITION OF REGIONS

Central Region Target Areas

- **North Osceola County**
- **Hillsborough County**
(Dover, Ruskin, Wimauma, Plant City)
- **North Polk County**
(Lakeland, Bartow, Lake Alfred, Auburndale, Winter Haven, Haines City, Mulberry, Polk City, Davenport, Bradley, Waverly, Poinciana, Wahneta, Eagle Lake, Gordonville, Eloise, Gordon Heights)

Southern Region Target Areas

- **Highlands County**
(Avon Park, Sebring, Lake Placid)
- **Southern Polk County**
(Lake Wales, Ft. Meade, Frostproof)
- **Southern Osceola County**
- **Hendry County**
(Labelle, Clewiston)
- **Glades County**
(Moore Haven)
- **Collier County**
(Immokalee & Naples)
- **Hardee County**
(Wauchula, Bowling Green, Zolfo Springs)

Northern Region Target Areas

- **Brevard County**
- **Seminole County**
(Sanford)
- **Volusia County**
(Deland, Pierson)
- **Lake County**
(Leesburg)
- **Putnam County**
(Crescent City)
- **Pasco County**
(Dade City)
- **Orange County**
(Apopka, Orlando, Winter Park, Zellwood)

Eastern Region Target Areas

- **Okeechobee County**
(Okeechobee)
- **St. Lucie County**
(Ft. Pierce, Port St. Lucie)
- **Palm Beach County**
(Belle Glade, South Bay, Pahokee)
- **Martin County**
(Indiantown, Hobe Sound, Stuart, Port Salerno, Jensen Beach)
- **Dade County**
(Florida City)
- **Indian River County**
(Vero Beach, Gifford, Fellsmere & Wabasso)

ARTICLE X - REGIONAL ADVISORY COUNCIL

- Section 1** The Corporation membership shall be divided into four (4) regions: Southern, Eastern, Central, and Northern, with each region having a Regional Advisory Council. The regions shall be designated by the Board of Directors.
- Section 2** Regional Advisory Councils shall serve in an advisory capacity to the Board of Directors.
- Section 3** The Regional Advisory Council shall have a membership of not less than six (6) or more than eighteen (18).

PROCEDURE CLARIFICATION

All corporate members of a said region must have declared eligibility including residency via the corporate membership process to be eligible to serve on a said advisory council.

- Section 4** No employee of the agency may serve on any Regional Advisory Council. Former employees must be out of service for at least one (1) year before becoming eligible to serve on any Regional Advisory Council.
- Section 5** No member of a Council Member's immediate family shall serve as a Council Member of the same Regional Advisory Council during the same time as that Council Member. Immediate family is defined as follows: Husband, Wife, Mother, Daughter, Son, Father, Father-in-Law, Mother-in-Law, Sister, Sister-in-Law, Brother, Brother-in-Law, Grandmother, Grandfather, Aunt, Uncle, Niece, and Nephew.
- Section 6** Regional Advisory Council membership shall be for three (3) year periods. There shall be an annual meeting of the Corporate Membership in each of the four (4) previously identified regions. Said meeting will be held each year before the end of November. Those in attendance and who are entitled to vote shall elect Regional Advisory Council members. At each annual Regional Advisory Council meeting six (6) persons shall be elected for three year terms. It is the intent of this provision to continue to provide for staggered three year terms with a total of eighteen members for each Regional Advisory Council.

PROCEDURE CLARIFICATION

All eligible Council Members present may submit their name in nomination via the Nomination Committee or may be nominated from the floor to fill any vacant slot at the time of the election.

A vacancy slot thereafter in any Council Membership and/or Council officer's slot may be filled by election by a majority of the council members present at a duly held council meeting. The elected officer and/or member shall serve for the remainder of the term of the office and/or membership slot she/he replaces.

Once sworn-in as Regional Advisory Council members, they shall immediately elect their officers and their representatives to the Board of Directors. All members elected to the Board of Directors shall be representatives of the low-income communities of said region. Regional Advisory Council officers may be elected as a low-income community representative if appropriate.

PROCEDURE CLARIFICATION

All Advisory Council Members seeking consideration to represent the council on the Board must have been a council member for not less than two years.

- Section 7** If requested by the Board of Directors, the Regional Advisory Council shall recommend elected officials and local business/other representatives for consideration for appointment to the voting membership of the Board. The Board of Directors shall have the sole responsibility for making appointments of elected officials and local business/other representatives,
- Section 8** All other designated subsidiaries and affiliates of ALPI shall fully comply with and adhere to these Bylaws as well as all applicable Policies and Procedures.

ATTACHMENTS

1. Attendance Report Form
2. Meeting Report Form
3. Travel Request to Incur Travel Form
4. Travel Reimbursement Form



2011 Shared Governance Orientation Session

Introduction to Robert's Rules of Order

Presented By
Deloris Johnson, CEO
Saturday, February 26, 2011



AGENDA ITEMS

- INTRODUCTION
- PURPOSE
- OVERVIEW OF PARLIMENTARY PROCEDURES
 - WHAT ARE PARLIMENTARY PROCEDURES
 - HISTORY OF ROBERT'S RULES OF ORDER
- TYPES OF MOTIONS
 - HOW MOTIONS ARE PRESENTED
 - VOTING ON MOTIONS
 - TYPES OF MOTIONS
- QUESTIONS AND ANSWERS

What are Parliamentary Procedures?

- It is a set of rules for conduct at meetings, that allows everyone to be heard and to make decisions without confusion.

Why are Parliamentary Procedure Important?

- Because it's a time tested method of conducting business at meetings and public gatherings. It can be adapted to fit the needs of any organization.
- Today, Robert's Rules of Order newly revised is the basic handbook of operation for most clubs, organizations and other groups. So it's important that everyone know these basic rules!

SHORT HISTORY OF ROBERT'S RULES OF ORDER

GENERAL HENRY M. ROBERT without warning was asked to preside over a public meeting being held in a church in his community and realized that he did not know how. He tried anyway and his embarrassment was supreme. This event, which may seem familiar to many organizers and board, left him determined never to attend another meeting until he knew something of parliamentary law. He gave his name to the book that has brought Order to millions of meetings, published the first edition of *Robert's Rules of Order* on February 19, 1876. After his retirement from the Army in 1901, he practiced consulting engineering and devoted the last decade of his life to writing on parliamentary procedure. He died on May 11, 1923.

The work of Robert has continued over the year the work of other Authors

SHORT HISTORY OF ROBERT'S RULES OF ORDER

- **SARAH CORBIN ROBERT** was the daughter-in-law of the original author and the Trustee of *Robert's Rules of Order Revised*, and headed the authorship team which produced the most extensive general revision of the work, the 1970 edition of *Robert's Rules of Order Newly Revised*.
- **HENRY M. ROBERT III**, grandson of General Robert, began his association with *Robert's Rules of Order Newly Revised* when he assisted his mother, Sarah Corbin Robert, in writing the 1970 edition. He holds degrees in the Great Books Program of St. John's College in Annapolis and in Physics (Laval University, Quebec). He has served as Parliamentarian of the National Association of Parliamentarians.
- **WILLIAM J. EVANS**, a former partner in the Baltimore law firm of Miles & Stockbridge, was a graduate of the Johns Hopkins University and earned his law degree at the University of Maryland School of Law. He was President of the National Association of Parliamentarians from 1979 to 1981 and also served as its Parliamentarian. He participated in writing the 1970 and each succeeding edition.

SHORT HISTORY OF ROBERT'S RULES OF ORDER

- **DANIEL H. HONEMANN** is a Maryland attorney, of counsel to the Baltimore law firm of Whiteford, Taylor & Preston, LLP. He is a graduate of Western Maryland College and received his law degree from the University of Maryland School of Law. Mr. Honemann also assisted in the writing of the ninth edition.
- **THOMAS J. BALCH**, 1999-2001 Parliamentarian for the National Association of Parliamentarians, is a Washington, D.C.-based lobbyist and legislative analyst. An attorney licensed to practice in Illinois, he is a graduate of Williams College and New York University School of Law.

SHORT HISTORY OF ROBERT'S RULES OF ORDER

THE EDITIONS OF THIS MANUAL

First Edition	February 1876	}	POCKET MANUAL OF RULES OF ORDER FOR DELIBERATIVE ASSEMBLIES
Second Edition	July 1876		
Third Edition	1893		

(Cover short title:
ROBERT'S RULES
OF ORDER)

Fourth Edition	1915	}	ROBERT'S RULES OF ORDER REVISED
(Completely reworked and 75 percent enlarged by original author)			
Fifth Edition	1943		
Sixth Edition	1951		

("Seventy-Fifth Anniversary")

Seventh Edition	1970	}	ROBERT'S RULES OF ORDER NEWLY REVISED
(Enlarged more than twofold and totally recast to be made self-explanatory)			
Eighth Edition	1981		
Ninth Edition	1990		

TENTH EDITION 2000

("Millennium." Thoroughly re-
edited to refine conceptual clarity
and consistency of statement.)

Inclusive of Robert's Rules of Order and Robert's Rules
of Order Revised more than Five Million copies in print

SHORT HISTORY OF ROBERT'S RULES OF ORDER

- The tenth, current, edition has been brought about through a process of keeping the book up to date with the growth of parliamentary procedure. All editions of the work issued after the death of the original author have been prepared by persons who either knew and worked with the original author or are connected to such persons in a direct continuity of professional association.

"ONE NEED TO KNOW WHERE THEY'VE BEEN IN ORDER TO PLAN WHERE THEY ARE GOING"

Organizations using parliamentary procedure follow a fixed order of business.

Below is a typical example:

- Call to order.
- Roll call of members present.
- Reading of minutes of last meeting.
- Officers reports.
- Committee reports.
- Special orders --- Important business previously designated for consideration at this meeting.
- Unfinished business.
- New business.
- Announcements.
- Adjournment.

The method used by members to express themselves is in the form of moving motions. A motion is a proposal that the entire membership take action or a stand on an issue. Individual members can:

- Call to order.
- Second motions.
- Debate motions.
- Vote on motions.

There are four Basic Types of Motions:

- Main Motions: The purpose of a main motion is to introduce items to the membership for their consideration. They cannot be made when any other motion is on the floor, and yield to privileged, subsidiary, and incidental motions.
- Subsidiary Motions: Their purpose is to change or affect how a main motion is handled, and is voted on before a main motion.
- Privileged Motions: Their purpose is to bring up items that are urgent about special or important matters unrelated to pending business.
- Incidental Motions: Their purpose is to provide a means of questioning procedure concerning other motions and must be considered before the other motion.

How are Motions Presented?

- Obtaining the floor
 - Wait until the last speaker has finished.
 - Rise and address the Chairman by saying, "Mr. Chairman, or Mr. President."
 - Wait until the Chairman recognizes you.
- Make Your Motion
 - Speak in a clear and concise manner.
 - Always state a motion affirmatively. Say, "I move that we ..." rather than, "I move that we do not ...".
 - Avoid personalities and stay on your subject.

How are Motions Presented?

- Wait for Someone to Second Your Motion
- Another member will second your motion or the Chairman will call for a second.
- If there is no second to your motion it is lost.

How are Motions Presented?

- The Chairman States Your Motion
 - The Chairman will say, "it has been moved and seconded that we ..." Thus placing your motion before the membership for consideration and action.
 - The membership then either debates your motion, or may move directly to a vote.
 - Once your motion is presented to the membership by the chairman it becomes "assembly property", and cannot be changed by you without the consent of the members.

How are Motions Presented?

- Expanding on Your Motion
 - The time for you to speak in favor of your motion is at this point in time, rather than at the time you present it.
 - The mover is always allowed to speak first.
 - All comments and debate must be directed to the chairman.
 - Keep to the time limit for speaking that has been established.
 - The mover may speak again only after other speakers are finished, unless called upon by the Chairman.

How are Motions Presented?

- Putting the Question to the Membership
 - The Chairman asks, "Are you ready to vote on the question?"
 - If there is no more discussion, a vote is taken.
 - On a motion to move the previous question may be adapted.

Voting on a Motion:

- The method of vote on any motion depends on the situation and the by-laws of policy of your organization. There are five methods used to vote by most organizations, they are:
 - By Voice -- The Chairman asks those in favor to say, "aye", those opposed to say "no". Any member may move for a exact count.
 - By Roll Call -- Each member answers "yes" or "no" as his name is called. This method is used when a record of each person's vote is required.
 - By General Consent -- When a motion is not likely to be opposed, the Chairman says, "if there is no objection ..." The membership shows agreement by their silence, however if one member says, "I object," the item must be put to a vote.
 - By Division -- This is a slight verification of a voice vote. It does not require a count unless the chairman so desires. Members raise their hands or stand.
 - By Ballot -- Members write their vote on a slip of paper, this method is used when secrecy is desired.

There are two other motions that are commonly used that relate to voting.

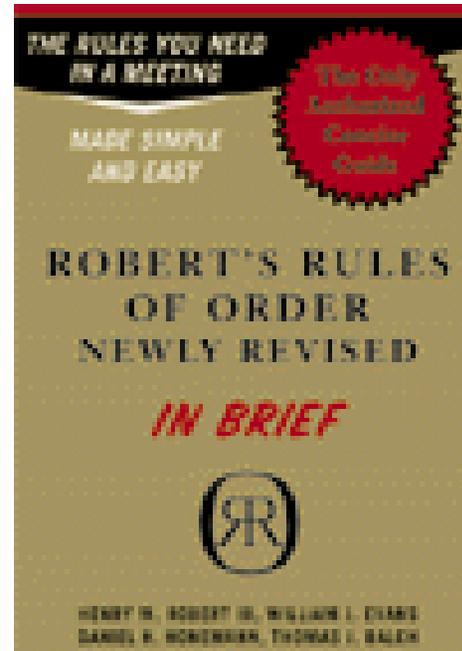
- Motion to Table -- This motion is often used in the attempt to "kill" a motion. The option is always present, however, to "take from the table", for reconsideration by the membership.
- Motion to Postpone Indefinitely -- This is often used as a means of parliamentary strategy and allows opponents of motion to test their strength without an actual vote being taken. Also, debate is once again open on the main motion.

Parliamentary Procedure is the best way to get things done at your meetings. But, it will only work if you use it properly.

- Allow motions that are in order.
- Have members obtain the floor properly.
- Speak clearly and concisely.
- Obey the rules of debate.
Most importantly, *BE COURTEOUS*.

References:

<http://www.robertsrules.com/>



Price:\$6.95

Questions & Answers

LET'S CALL...

A MEETING TO ORDER

OFFICE OF COMMUNITY SERVICES

An Office of the Administration for Children & Families

CSBG IM #82 Tripartite Boards

Published: June 12, 2012

Audience: Community Services Block Grants (CSBG)

Category: Guidance, Policies, Procedures, Information Memorandums (IM)

Transmittal No. 82

Date: March 23, 2005

TO: State Community Services Block Grant Program Directors, Community Services Block Grant State Association Directors and Community Services Block Grant Eligible Entities

SUBJECT: Tripartite Boards

PURPOSE: This Information Memorandum addresses a number of policy questions that have arisen in recent years concerning the composition, role, and responsibilities of local community action agency tripartite boards. In addition, the Memorandum describes steps that may be taken by State CSBG lead agencies and State Community Action Associations to promote the continued viability and effectiveness of eligible entities through appropriately constituted and well-functioning tripartite boards.

This Information Memorandum is not intended to be definitive or binding on State or local agencies, but to serve as a guide on key issues.

BACKGROUND: Since 1968, local community action agencies have been required to have tripartite governing boards to gain and retain designation as eligible entities and to receive CSBG funding. Effective tripartite boards reflect and promote the unique anti-poverty leadership, action, and mobilization responsibilities assigned by law to community action agencies. Boards are responsible for assuring that agencies continue to assess and respond to the causes and conditions of poverty in their community, achieve anticipated family and community outcomes, and remain administratively and fiscally sound.

The nature of poverty and our nation's response to it continues to evolve. Many community action agencies are in the process of passing the baton to a new generation of leaders. This Information Memorandum restates and amplifies how tripartite boards help preserve community action focus, effectiveness, and accountability in these changing times.

Questions and Responses

The following questions and OCS responses convey important information about the roles and responsibilities of tripartite boards as required by statute and suggestions on how State CSBG authorities, State community action associations, and local agency officials can help assure that boards function effectively.

Question 1 - What does the law require?

Roles and Responsibilities of Tripartite Boards

Sections 676B of the Community Services Block Grant Reauthorization Act of 1998 requires that, as a condition of designation, private nonprofit entities and public organizations administer their CSBG program through tripartite boards that "fully participate in the development, planning, implementation, and evaluation of the program to serve low-income communities."

Board Composition

•Low-Income Individuals and Families

For private nonprofit entities, a minimum of one-third of tripartite board membership must be democratically selected representatives of low-income individuals and families who reside in the geographic area being served by the agency.

For public organizations, such as city, county, or town governments, the law also requires that a minimum of one-third of tripartite board membership be comprised of representatives of low income individuals and families who reside in areas served. The statute allows public organizations to utilize State-specified mechanisms other than tripartite boards that "assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs..."

OCS does not recommend including in this community representation category for either public or private agency boards individuals who provide services or supports to low-income residents but who are neither low-income or residents of the agency's service area. Such individuals may qualify for board membership as representatives of another board category -- "major groups or interests in the community."

•Elected Officials or Their Representatives

One-third must be elected officials, holding office at their time of selection, or their representatives. If a sufficient number of elected officials or their representatives are not available to serve, appointive public officials or their representatives may take the place of elected officials.

• Major Groups and Interests in the Community Served

The remaining board members must be chosen from "business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served."

Question 2 - Who appoints members to a tripartite board?

The law states that members of tripartite boards "shall be selected by the entity" in accord with the conditions described above. States must assure that local agencies comply with Federal statute and any applicable State statutes, and that the bylaws of tripartite boards reflect and advance statutory requirements.

Question 3 - Are term limits permissible?

The CSBG statute is silent on term limits. However, many CAAs find term limits helpful to keep boards revitalized and current. Community action agencies may impose such limits through their own bylaws if they wish.

To achieve the purposes intended by statute for each of the three components of agency boards, State and local agencies are encouraged to consider the following term limit considerations:

Representatives of Low-Income Individuals and Families

The statute requires that representatives of low-income individuals and families be "chosen in accordance with democratic selection procedures." The implicit intent of this requirement is to insure that those who *currently* live in areas served by the agency are represented so that they have a strong voice in agency governance and direction and are able to convey to those they represent the presence and significance of community action in their lives. And, because some programs within community action agencies, especially Head Start, also require governance involving families being served, overall agency coordination and communications across programs are further enhanced when a few (one or two) members of Head Start Policy Councils serve on agency tripartite boards. The Head Start regulations require that the Policy Council and the Board cannot have identical membership, so this must be observed.

Every effort should be made by eligible entities to assure that board members representing low-income individuals and families:

- Have been selected on the basis of some form of democratic procedure either directly through election, public forum, or, if not possible, through a similar democratic process such as election to a position of responsibility in another significant service or community organization such as a school PTA, a faith-based organization leadership group; or an advisory board/governing council to another low-income service provider;
- Are truly representative of *current* residents of the geographic area to be served, including racial and ethnic composition, as determined by periodic selection or reselection by the community. Being *current* should be based on the recent or annual demographics changes as documented in the needs/ community assessment. This does not preclude extended service of low-income community representatives on boards, but does suggest that continued board participation of longer term members be revalidated from and kept current through some form of democratic process and the assessment of community changes. Ultimately, it is the responsibility of the State to assure that agencies uphold both the letter and intent of the law governing appointment of low-income community representatives to tripartite boards. Particular attention should be paid to the two conditions described above.

Elected Public Officials or their Representatives

The overarching purposes for having elected officials serve on tripartite boards are to encourage awareness of poverty needs within the community and action by local governments, and to foster close coordination and partnership between public agencies and the eligible entities. State CSBG lead agencies, State community action associations, and local agency officials should ensure that the nature and number of public officials serving on each agency board supports and promotes these goals. The statute requires that elected public officials must be "holding office on the date of selection" to a tripartite board. The statute does not identify which public officials ought to serve on the tripartite board. The statute allows public officials (elected, or if necessary, appointed) to name someone to represent them on the board. Again, while the statute does not set term limits for this category of board membership, the spirit of the law, that local governments participate in agency oversight and governance, suggests that:

- Elected officials serve on boards in this capacity only while they are in office.

Similarly, individuals designed by elected or appointed officials to represent them on boards serve only while their principals are in office or are re-designated by those in office. Agencies are responsible for making sure that this category of board membership remains current through such procedures as prompt notification of newly elected or currently elected public officials of the opportunity for board service or representation, and timely replacement of board members (or their representatives) who no longer hold public office.

Local agencies that wish to extend the board service of either formerly elected officials or their representatives may choose to appoint them as representatives of "major groups and interests in the community."

Representatives of Major Groups and Interests in the Community

While the statute does not set term limits for these board members, their role is to reflect and involve key interests and resources within the community to guide agency actions and outcomes. For this category, agencies should strive to assure that:

- Groups and interests with current influence or resources deemed critical to the success of the agency are represented.
- Members are empowered by their organizations to participate in board activities and play a role in agency outcomes.

Question 4 - What does "fully participate in the development, planning, implementation, and evaluation of the program" mean?

Tripartite boards are responsible for oversight and governance of community action agencies:

Development

As the designated anti-poverty-agencies within their community, both public and private eligible entities are required to conduct periodic needs assessments of the causes and conditions of poverty within their service area and to decide what role, or mission, the agency will assume relative to other community organizations and resources, in addressing those needs.

Tripartite boards are key players in the developmental processes described above:

- Needs Assessment -- Board members, especially those that live in communities to be served and that represent low-income people, ought to be a primary source of information and insight concerning the conditions in their neighborhoods. Representatives of low-income families can help fashion agency outreach and communication strategies, on an ongoing basis, to assure that agency staff and programs are responsive to changing community needs and conditions. Board members that represent elected officials, and other community groups and interests, all bring critical information and perspective to the needs assessment process. Elected officials or their representatives can commission or make available government-sponsored studies of local economic, social, educational, and key conditions that affect poverty. Business, labor, religious, and other community group representatives offer similar information from the private sector and access to short-term and longer-range service and resource assessments and/or development plans that may impact the nature or extent of poverty in the community.
- Clarifying Agency Mission -- The way each community action agency perceives its role, or mission, is central to what they do and how they assess their effectiveness. Tripartite boards, if correctly constituted, provide an agency with a broadly-based, in-house, panel of "experts" on most aspects of community need, resources, and opportunities. Their expertise should help inform agency leadership and staff concerning the role(s) community action should and could play to reduce poverty vis-a-vis other public and private programs and initiatives. Creating or reviewing mission statements can provide a focus for collaborative strategic planning among board members and agency leadership and staff, and a foundation for meaningful board oversight of agency operations and effectiveness.

Planning

Tripartite boards are important participants in agency annual and longer-range planning activities. Specifically, individual members of the board, and the board as a whole, ought to contribute to, and benefit from, various aspects of program planning:

- Long-range Strategic Planning- For those CSBG entities that are 501(c)(3) non-profit agencies, tripartite boards are ultimately responsible for the overall direction, conduct, and effectiveness of agency programs and activities. Public agency boards are "advisory" and are intended to guide public officials that manage their agencies, both elected and appointed, with information and advice on how to reduce poverty within the geographic area being served. As such, participation of boards is essential in strategic planning discussions of how the mission of the agency is to be accomplished through its programs and activities, and how the agency will determine what constitutes its "success." Tripartite boards should be encouraged to help the agency: a) identify broad goals and results it hopes to achieve through its work among low-income individuals and families, and within the community being served; b) mobilize and array programs and activities, both within and outside the agency, to achieve those goals and results; and c) establish and maintain procedures for gathering and presenting information on goals and results for agency and board use.
- Annual Planning - Tripartite boards of both public and private entities should participate in the identification of what the agency hopes to accomplish each year and to help the agency establish specific performance expectations, in terms of both the nature and number of improvements to be achieved among low-income people and within the community, to guide agency programs and activities. Milestones, or intermediate steps toward achieving the ultimate results, ought to be identified by agency staff so that board members will be able to track progress throughout the year. In addition, boards are encouraged

to identify possible ways to strengthen agency operations, including needed staff or facility enhancements, and to identify specific results it expects to be achieved. Boards may choose to utilize annual agency performance expectations, or anticipated program results, as important components of annual performance plans and compensation agreements they negotiate with the agency's executive director and other key staff.

Implementation

Because members of tripartite boards have "fiduciary" responsibility for the overall operation of private, non-profit community action agencies and statutorily described "advisory"

responsibilities in public agencies, members are expected to carry out their duties as any "reasonably prudent person" would do. At a minimum, CAPLAW suggests that this would require:

1. Regular attendance at board and committee meetings;
2. Thorough familiarity with core agency information, such as the agency's bylaws, articles of incorporation, sources of funding, agency goals and programs, Federal and State CSBG statutes;
3. Careful review of materials provided to board members;
4. Decision-making based on sufficient information;
5. Ensuring that proper fiscal systems and controls, as well as a legal compliance system, are in place; and
6. Knowledge of all major actions taken by the agency.

Two aspects of the requirements described by CAPLAW above warrant further discussion –board oversight of agency programs and board oversight of fiscal controls:

- Agency Program Implementation - Boards are encouraged to stay informed of agency programs and activities throughout the year, and to receive periodic reports from agency staff that focus on progress toward achieving milestones and ultimate results among clients and communities being served. Timely board awareness of program implementation progress allows for possible reassessment of performance expectations or program realignments should the need arise.

Board members are also encouraged to help the agency establish and maintain working relationships, or partnerships, with other public and private agencies and programs in the community that can help achieve community action results. For example:

1. Members that are either elected officials or that represent elected officials may identify public resources and programs that could contribute to client or community outcomes and facilitate communication and coordination between the community action agency and the public program;
2. Members that represent critical community interests, such as commercial or financial institutions, may help identify possible sources of support for the agency's low-income clients, including employment opportunities, asset formation assistance, or access to other financial services;
3. All members of the tripartite board may be enlisted in an agency's advocacy efforts to increase or preserve needed services and programs in the community that support greater self-sufficiency among low-income families.

- Fiscal Controls - Because tripartite boards of private, non-profit agencies are ultimately

responsible for assuring that agency funds are spent and accounted for in accord with all applicable Federal, State, and local statutes and regulations, boards must make sure that fiscal controls and procedures are put in place and maintained by the agency that provide for:

1. Trained and qualified staff to manage fiscal accounts and records of the agency on a day-to-day basis;
2. Commonly accepted financial procedures for transactions, recordkeeping, and reporting such as those required by the CSBG Act, Part 74 of the Code of Federal Regulations, and OMB Circular 133;
3. Frequent reports to the board by agency fiscal staff on overall agency fiscal status, procedures, practices, and transactions;
4. Required board review and prior approval of all "substantial" agency fiscal transactions or commitments, as defined by statute or agency bylaws; and
5. Audits and audit reports to the board by a CPA firm independent of board member or agency staff association.

Evaluation

As indicated, tripartite boards of both public and private agencies are encouraged to focus their attention on results in all phases of agency program activity, including program development, planning, implementation, and especially evaluation. Boards should request, and be provided with, information concerning actual changes or improvements that have occurred among clients and community as a result of agency assistance. To determine the relative

"success" of the agency, its staff and programs, boards may compare the nature and level of these outcomes with performance expectations, or targets, which were developed during the agency's planning cycle.

Outcome or performance-focused information from one year can inform and strengthen program planning by the agency and its board in subsequent years.

Question 5 - What kind of training should board members receive?

Board members need to be trained to carry out both the legal, or fiduciary, aspects of their service and their leadership responsibilities to help guide the agency toward "success."

At a minimum, it is recommended that board training cover the following topics:

• Fiduciary Responsibilities

1. Orientation to statutory and regulatory requirements (CSBG Act, other Federal, State or local statutes and regulations, including non-profit board requirements;
2. Agency articles of incorporation, bylaws, etc.
3. Overview of Board functioning - appointment, representation, meetings, committees, conflict of interest policy, relationship to executive director and staff, etc.
4. Role and Responsibilities of the Executive Director
5. Role and Responsibilities of the Board regarding the employment, retention, and compensation of the Executive Director and key agency staff
6. Overview of agency administration and financial management policies and procedures - oversight role and responsibilities of the board
7. Orientation to, and how to oversee, agency mission, long-range and annual plans
8. Orientation to, and how to oversee, agency programs and services
9. Orientation to, and how to oversee, agency evaluation and reporting policies and procedures - role of the board in program and personnel performance evaluation.

• Agency Leadership - Board Roles and Responsibilities

Results Oriented Management

1. Agency Development -
 - o Needs Assessment-
 - o Agency Mission determination -
2. Agency Planning
 - o Strategic Long-Range Planning
 - o Annual Planning - performance expectations and targets
 - o Forming Partnerships with other resources in the community
3. Program Implementation -
 - o Tracking of Milestones, interim performance results and reports
 - o Making mid-course corrections to improve performance

Results Oriented Accountability

4. Evaluation - (Results Oriented Accountability)
 - o Result-Focused Evaluation - clients and community
 - o Results-Focused Evaluation - agency and staff
 - o Using Information for Planning
 - o Using Information for Additional Funding and Advocacy

Note: In rural areas or where transportation is challenging, teleconference calls and other technological devices have assisted board communication.

Question 6 - What constitutes "conflicts of loyalty or interest" among board members and how best should they be avoided.

Individuals serve on tripartite boards first and foremost to advance the interests of the agency, its clients, and the community. They do not serve to advance their own interests and have a "duty of loyalty" to the agency. But, the very nature of the tripartite board, which calls for the representation of, and expected outreach to, various sectors of the community, creates possible situations in which distinctions of "loyalty" or "interest" need to be kept very clear and unambiguous.

To safeguard against situations in which the loyalty, interest, or intent, of board member action may be questionable, the following minimum conflict of interest practices are recommended:

- **Have a clear, written policy**

Each agency should have a clear, written policy concerning conflicts of loyalty or interest among board members and agency staff that describes in detail:

1. Full disclosure of financial interest requirements for all board members and staff;
2. Conditions and procedural requirements for board member and/or staff withdrawal from any action for which a real or potential conflict of interest might exist;
3. "Transparency" and full record keeping of all board or agency financial decisions or actions and the parties involved in the decisions or actions;
4. Policies and procedures for selective (i.e. meet a certain threshold of expenditure or financial commitment) "independent" prior review of actions or decisions that may pose potential conflict of interest issues.

• **Avoid situations that advantage board member interests or the appearance of advantage**

As indicated, the very nature of tripartite representation on boards creates potential conflict of loyalty or interest situations in which board members help the agency establish linkages with public and private community resources and services. Often, this outreach may result in financial arrangements or contracts involving expenditure of agency funds. In addition, board members have "inside" knowledge of agency activities and operations, including current and future employment opportunities within the agency. To avoid situations in which a conflict of interest or loyalty would occur, or the appearance of such a conflict, the following is recommended:

1. Competitive bidding procedures should be used for large financial transaction situations in which a board member or agency staff member has an interest in, or relationship to, one or more providers of the needed goods or services. If such a potential is unclear, the agency and its board should refer the issue to a pre-identified "independent" conflict of interest consultant or group for a determination. For smaller transactions that may involve board or staff member interests, a process involving collection of comparable quotes, prices, or salaries may suffice.

2. If, after a competitive process, a provider with ties to a board member(s) or staff is selected to enter into a financial arrangement with the agency, the affected board member(s) and staff must disassociate themselves from participating in any decisions regarding the conduct of the financial relationship. Neither board member(s) nor staff may benefit personally, in any way, from the financial relationship between the agency and the provider with which they have a connection.

3. Board membership should not be used as a "stepping stone" to agency employment.

Board members should not seek or receive employment from the agency in any part-time or full-time capacity during their service on the board. Board members wishing to be considered for employment ought to resign their position and wait a reasonable period of time before applying for a paid position within the agency. This waiting period is recommended to avoid both the actuality and appearance of undue advantage board membership affords in the hiring of agency management and staff.

4. Board members and their families should not enjoy any financial gain from their position, including receipt of salary, goods or special services for their board participation. Board members may be reimbursed for expenses associated with board service, such as incidental costs of supplies, or mileage, per diem, and lodging expenses incurred while attending out-of-town conferences or training approved by the entire board.

5. Agencies and boards should err on the side of caution in all matters that might create or appear to be a conflict of interest. They should use the proverbial "smell test" in all potentially questionable conflict of interest situations and call upon independent, outside counsel, both legal and ethical, to screen plans before action.

It should be noted that board members, especially those that represent low-income individuals or families, are not excluded from being clients of the agency and receiving program services for which they are eligible. These board members should not receive preferential treatment in the nature or timing of such services.

Question 7- What is the best relationship between a tripartite board and the agency executive director?

The best relationship between a tripartite board and the agency executive director is one that advances the work of the agency in achieving results, or improvements, in the lives of low-income people and the community in which they live.

That said, there are organizational and functional issues that have prompted this question from a number of locations around the country over the past few years. While situations vary from agency to agency, and community to community, the following general principles are offered to promote strong, focused, and effective working relationships between tripartite boards and agency executive directors:

• **Boards Establish Policy, Executive Directors Execute Policy**

Tripartite boards are responsible for establishing and approving policies that govern all aspects of agency operations, including agency and board bylaws, administrative and fiscal control policies, and personnel policies. Executive directors are responsible to assuring that the board established policies are carried out by the agency, and for providing information to the board on the execution of its policies as requested by the board. In many agencies, boards work with the executive director and agency staff collaboratively to develop agency policies and procedures, but the ultimate responsibility for promulgating such policies remains with the board.

• **Boards Set Agency Mission, Executive Directors Accomplish Agency Mission**

Boards are responsible for determining the overall mission, or direction, of the agency taking into account the needs of the community and the relative anti-poverty role played by the agency vis-à-vis other programs and resources in the community. Executive directors are responsible for providing the necessary information and assistance to the board that will help them determine the overall mission or direction of the agency, and for organizing the agency's programs and services in such a way that will best accomplish the mission. Again, in many communities, boards and executive directors (and agency staff) work collaboratively to both set the agency's mission and organize programs and services toward that end.

• **Boards Set Performance Targets, Executive Directors Guide Work to Achieve Targets**

Ideally, tripartite boards will officially approve annual performance targets, or outcomes they expect the agency to achieve among low-income families and the community. In most cases, these performance targets will be in the form of recommendations from the agency's executive director developed ideally in concert with the board, agency staff, and key community partners. How the agency organizes and operates services and programs to achieve these board-approved performance targets is the responsibility of the executive director and the staff of the agency. Boards, therefore, should not routinely be involved in the day-to-day manner in which services are provided, but should pay particular attention to following the consequences, or results of agency programs as they unfold and are reported throughout the year.

• **Boards and Executive Directors Evaluate Agency Performance, Both are Accountable**

Based on reports of results generated by the agency, boards are ultimately responsible for deciding whether or not the agency and the executive director have been "successful" in accomplishing the mission of the agency. Boards are encouraged to focus on client and community results as a major factor in evaluating the work of the agency, its executive director, and staff. Indeed, such results may point to institutional needs, such as staff enhancement and training or program revisions, which may improve performance in subsequent years.

• **Boards Supervise Directly Only One Employee - the Executive Director**

One of the most important concepts conveyed by agencies that have well-functioning relationships between their tripartite board and executive director is, "Boards supervise directly only one employee - the Executive Director."

This concept embodies the notion that board and agency staff functions are indeed separate, but they are joined through the relationship between the board and the one person they must hold accountable for the work of everyone else -- the executive director. This clearly means the boards must hold the executive director responsible for the activities of the agency. The board should appraise the executive director's performance on an ongoing basis, but at a minimum, the board should have a complete appraisal annually. Adopting this concept of "one employee" enables boards to refrain from bypassing their agency's executive director to provide day-to-day instructions to agency staff (what many call "micromanaging"). But, it must be clear that the concept should not protect an executive director from gaining too much authority over all aspects of agency policy and operations by assuming roles and functions that clearly reside with the tripartite board.

The concept is not intended to diminish or distort the fiduciary responsibility of tripartite boards of private, non-profit agencies to oversee the overall functioning of their agency and the cumulative work of agency staff.

When a tripartite board is faced with the responsibility of recruiting and hiring a new executive director for their agency, members may set whatever criteria they deem appropriate. Boards are encouraged to seek out and employ a leader capable of:

1. Working cooperatively with the board to assure there is on-going consensus concerning the agency's antipoverty purpose, or mission, among board members, agency staff, and the broader community;
2. Mobilizing and coordinating programs and services both within and outside the agency toward accomplishing this mission;
3. Serving as a key community leader and advocate for the preservation and expansion of opportunities to assist low-income individuals and neighborhoods move out of poverty;
4. Achieving strong administration and fiscal control over agency resources; and
5. Employing performance-based management concepts embodied in Results Oriented Management and Accountability (ROMA) as the framework for relating to the board, and for all aspects of agency operations including program planning, resource allocation, service provision, program and staff evaluations.

Question 8 - How can State CSBG agencies and State Community Action Associations advance the effectiveness of tripartite boards?

At a minimum, OCS recommends that State CSBG agencies and State community action associations work together to assure that:

• **All board members receive timely and continuous training.**

OCS has funded the development of a number of board training curricula that are now available upon request and that contain many of the elements of effective training described in this Information Memorandum. For information on these training materials, please contact:

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- Board representatives participate actively in statewide community action training and technical assistance meetings and conferences.

Board chairs or other members ought to be encouraged to participate in statewide community action meetings and conferences sponsored by both the State CSBG authority and the State CAA association. Such meetings will not only provide an opportunity for board members to contribute to discussions and training, but will also provide a means of conveying to all board members the status of community action in the State, information about the programs, services, and accomplishments of other agencies, and how their boards can continue to help improve the focus and outcomes in their own agencies.

- State CSBG monitoring or CAA association assessments focus on board functioning (both fiduciary and leadership responsibilities)

State CSBG officials should meet routinely with boards as part of their overall monitoring of local agencies to determine the extent to which the boards are aware of, and are carrying out, their responsibilities. Assessment should be made of agency compliance with statutory requirements for board composition and functioning. Similar assessments are encouraged in those States in which CAA associations have developed and are using agency self-assessment procedures in conjunction with State CSBG monitoring. State CSBG authorities and State community action associations are encouraged to provide technical assistance to agencies to help them achieve or maintain compliance with the law.

Please don't hesitate to contact me if you have questions concerning this Information Memorandum.

_____/s/_____
Margaret J. Washnitzer, DSW
Director of State Assistance
Office of Community Services



TOOLKIT

RISK ASSESSMENT TOOLKIT

**Quick Reference
Guide to Risk
Assessment Basics
for Community
Action Agencies**



RISK ASSESSMENT TOOLKIT

Quick Reference Guide to Risk Assessment Basics for Community Action Agencies

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INTRODUCTION

This is a toolkit designed to be a quick reference guide for the foundational elements of risk assessment. It is based on IM-112 which outlines standards to be used in risk assessment. These standards frame the discussion and are the basis of the ACF/OCS perspective of the subject.

Risk Assessment Foundations

1. What is IM 112?

Information Memorandum 112 is guidance issued on August 18, 2009, by the Office of Community Services, a program of the Administration for Children and Families of the U.S. Department of Health and Human Services. The Office of Community Services (OCS) utilizes Information Memorandums (IM) to provide guidance to recipients and sub-recipients of federal funds for which OCS is responsible. The full text of IM 112 is available at <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im112.html>.

IM 112 was issued to address specific concerns regarding the management of funds made available through the American Recovery and Reinvestment Act of 2009, the federal stimulus dollars frequently referred to by the acronym ARRA. In addition to providing guidance relating to ARRA funding, IM 112 required all CSBG eligible entities to conduct a risk assessment process and to certify that their risk assessment process addressed specific factors identified in the IM. **While the impetus for IM 112 was the provision of ARRA funding, the core risk assessment and risk mitigation strategies expressed in IM 112 continue to be required of all CSBG funding recipients.**

2. What is ARRA?

The American Recovery and Reinvestment Act of 2009 (ARRA) provided funding to States, U.S. Territories, and eligible Tribal governments and Tribal Organizations based on a defined formula outlined in Public Law 105-285, the Community Opportunities, Accountability and Training and Educational Services Act of the 1998. Additional guidance regarding ARRA funding was provided by the Office of Community Services in IM 109 and 110.

3. Does IM 112 still apply even after all of our ARRA awards are closed?

Yes! While IM 112 discusses ARRA funding explicitly, the compliance guidance it provides applies to the management of virtually all federal funding agreements, including ongoing CSBG funding awards. Both before and after ARRA, recipients of federal funds have been required to comply with the OMB Circular A-110 (2 CFR 215) by implementing financial management systems which provide “effective control over and accountability for all funds, property and other assets” (2 CFR 215.21.b.3).

The GAO Standards for Internal Control (<http://www.gao.gov/special.pubs/ai00021p.pdf>) and the COSO Integrated Internal Control Framework (<http://www.coso.org/IC-IntegratedFramework-summary.htm>) referenced in IM 112 comprise the most widely accepted approach to establish financial management systems which provide the effective controls required by A-110. The importance of the COSO framework for internal control in the management of federal funds is further reinforced by the OMB A-133 and its compliance supplements which direct auditors to use the COSO framework as the basis of their audit planning and evaluation of internal controls.

4. Do CAAs Need to Continue Doing the Certification of Risk Assessment that was required in IM 112?

IM 112 included a requirement for CAAs to certify the completion of a risk assessment process expressly designed to address risks specific to the management of ARRA funding. The Sample Risk Assessment Template included in IM 112 posed risk assessment questions which continue to be useful in the overall risk assessment process. This is a key element in establishing and maintaining the controls needed for the management of all federal awards.

The IM 112 Risk Assessment Template required Community Action Boards to determine whether their CAA had:

1. Identified and resolved prior audit and monitoring findings;
2. Implemented financial and operational controls to prevent fraud, waste, abuse, and mismanagement of federal funds;
3. Established administrative, fiscal, and programmatic policies and procedures in accord with CSBG statutes which are communicated clearly to all staff;
4. Reviewed internal policies and procedures for compliance with the requirements of the CSBG Act, CSBG Information Memorandum, OMB Circulars, ACF Grant Terms and Conditions, and other contracted terms and conditions and implemented a methodology for monitoring internal policies and procedures;
5. Reviewed procedures to ensure compliance with CSBG ARRA provisions relating to purchase of general purpose equipment;
6. Requested Federal waivers when required to comply with CSBG Statutes relating to the purchase or improvement of land, or the purchase, construction, or permanent improvement of buildings or facilities.

While OCS does not currently require Community Action Agencies to complete a similar risk assessment certification, CAAs will want to be sure that they continue to determine whether their organization has addressed the issues identified in questions 1 through 4 and question 6 as part of their comprehensive risk assessment process, and address the underlying issue posed in question 5 (which was ARRA specific) to encompass the specific requirements of their current funding agreements in relation to purchase of general purpose equipment.

5. Does IM 112 require a specific approach to internal controls?

IM 112 notes that CSBG recipient organizations are required to have comprehensive internal controls. IM 112 quotes the definition of internal control provided by the Government Accountability Office “internal control is not one event, but a series of actions and activities that occur throughout an entity’s operations and on an ongoing basis. Internal control should be recognized as an integral part of each system that management uses to guide its operations rather than as a separate system within an agency” (GAO/AIMD-00-21.5.1, Standards for Internal Control in the Federal Government). GAO standards for internal control in the Federal Government are available online at <http://www.gao.gov/special.pubs/ai00021p.pdf>.

IM 112 notes that the basis for the GAO standards is found in **The Internal Control Integrated Framework**, published by the **Committee of Sponsoring Organizations of the Treadway Commission (COSO)**. The approach to risk assessment and evaluation of internal controls required by IM 112 is based upon to core tenants of the COSO Integrated Framework.

What is the COSO Internal Control Integrated Framework?

COSO is an acronym for the **Committee of Sponsoring Organizations of the Treadway Commission**. The Committee included representatives from five major professional organizations headquartered in the United States who came together in 1985 to develop comprehensive guidance for establishing internal controls which would protect all types of entities from error and fraud. The resulting document –Internal Control–Integrated Framework–was released in 1992. In 2010, COSO announced a project to update the 1992 document. The updating effort will include specific attention to the challenges of nonprofit organizations.

A summary of The Internal Control Integrated Framework may be downloaded free from <http://www.coso.org/IC-IntegratedFramework-summary.htm>. The entire framework document may be purchased from the same website –however most Community Action Agencies will find the summary meets their needs. The integrated framework identifies **5 key elements of effective systems of internal controls**. You'll find help with each of these elements in the FAQs indicated below:

- **Risk Assessment** – Section IV
- **Control Environment** – Section V
- **Control activities**– Section VI
- **Information and Effective Communication** – Section VII
- **Monitoring**– Section VIII

The COSO framework provides core guidance for independent auditors as well as Boards and managers. It is utilized by auditors to gain an understanding of auditees' systems of internal controls which will be the basis for the audit plan, design of audit tests, and ultimately findings regarding the adequacy of internal controls.

Preventing Fraud, Waste, and Abuse

6. What kinds of fraud happen in CAAs?

The term “fraud” encompasses three key areas:

- Misappropriation – theft or misuse for personal gain of goods or services
- Misstatement – asserting that information is true, accurate, and complete when it is not
- Corruption– decisions or actions that benefit individuals or other entities but are not in the best interest of the CAA

Unfortunately, all three types of fraud can occur in Community Action Agencies as well as every other type of business or governmental entity. Internal Controls are designed to prevent and detect all types of errors or irregularities, including the types of activities which can be described as controls.

7. What types of misappropriation do CAAs experience?

Unfortunately, virtually all types of theft or misuse are possible. Community Action Agencies must design and implement controls to protect themselves from dishonest acts by both insiders (staff, volunteers, clients, board members) and outsiders (visitors, internet fraudsters, and common thieves). Embezzlement schemes may involve redirection of contributions and other payments intended for the CAA to the accounts of thieves, or various strategies to trick the system into making payments for goods and services not received. Today's computers and printers make it easy for fraudsters to attach the CAA's bank routing information to fake checks which can be cashed with fake IDs. Because new strategies for embezzlement emerge daily, CAAs must continuously monitor their controls to be sure that they designed and implemented effectively to meet emerging risks.

Misuse of the CAA's assets is also a form of misappropriation. Employees or volunteers who “borrow” the use of vehicles or equipment to use for personal purposes may not understand that they are actually committing a form of fraud. Managers or Board members who ask employees to “help out” with personal projects may end up “stealing” services from the organization. The misuse of corporate assets (including staff time as well as equipment) is best prevented by clear policies, strong role models, and whistleblower procedures which encourage everyone associated with the CAA to share information through appropriate channels when they encounter situations that they believe may comprise misuse of assets.

8. What is misstatement and why does it matter?

The fraud of misstatement occurs when an organization asserts that a statement is true when, in fact, it isn't. Potential opportunities for misstatement include both financial and program reporting, especially reporting to funding sources relating to compliance with requirements

referenced in contracts and agreements. Typically, funding source report formats include a statement affirming the accuracy and completeness of the data contained in the report and compliance with law and regulation described in the funding agreement. Unfortunately, weak controls and limited internal monitoring systems may result in managers signing such affirmations in the belief that the organization has complied with the requirements when in fact breakdowns in communications and controls have resulted in failure to comply.

The preparation of financial statements almost always involves some level of professional judgment and reliance on certain estimates and assumptions. Misstatement occurs if the resulting financial information presents a materially misleading picture of financial activities and results. In a grant funded environment, improper coding of costs to the various funding source agreements may result in misstatement – asserting that grant funds have been expended only for allowable purposes when in fact, unallowable costs, including improperly allocated costs, have been included in the report.

Misstatements may lead to audit findings and eventual demands for repayment of funds or exclusion from future funding opportunities. Equally important, misstatement results in both managers and board members making decisions based on faulty information.

9. What is corruption?

Corruption occurs when someone with a decision-making role is induced to make a decision which is not in the best interests of the organization. For example, a vendor who makes gifts to a manager with responsibility for purchasing program supplies is engaging in corruption. Similarly, a Board member who influences a manager's decision on the selection of staff to gain preference for a friend or relative is engaging in corruption. Community Action Agencies regularly utilize Conflict of Interest Policies as part of an overall system to prevent corruption and Whistleblower Policies and Procedures to encourage reporting of concerns about improper conduct.

10. What can Boards do to prevent fraud, waste, and abuse?

Board attention to the control environment is essential to prevent fraud, waste, and abuse. Board members must hold each other to the highest standards of integrity, adopting and fully implementing conflict of interest policies, and regularly reviewing the Board's own performance in relation to effective oversight of the Executive Director (ED), finances, and compliance. Boards delegate substantial responsibility for preventing fraud, waste, and abuse to the Executive Directors and must consistently monitor and evaluate the adequacy of their ED's performance in these key areas. The annual independent audit provides a great opportunity for Board members to get help understanding how well their controls are working from an independent professional. To make the most of this opportunity, Boards need to ensure that either the Audit Committee or full Board conducts a confidential meeting with the auditor at the close of the audit engagement to seek the auditor's observations about controls and the control environment and recommendations for improvements.

Risk Assessment

11. What is Risk Assessment?

Risk assessment is a systematic process of thinking through the many ways that "bad things can happen to good people". Starting from the understanding that every organization intends to do the right thing, from board governance to financial management and the delivery of services, real life experience tells us that things don't always turn out the way we intend to have them turn out. Risk assessment involves identifying the areas in which problems might arise and then systematically evaluating both how likely that each problem is to occur and how serious the consequences of the problem would be. The goal of risk assessment is to understand the risks that our organization confronts and clarify the extent to which we can undertake strategies (risk mitigation) to control the likelihood of occurrence and the severity of the consequences.

12. How can my Board be sure our Community Action Agency has done an effective risk assessment?

Some CAAs establish a Risk Management Committee comprised of Board members and other community members with extensive risk management expertise. Larger businesses, hospitals and health systems, and governmental organizations will be good sources of potential committee members with risk management expertise. The Risk Management Committee can review the risk assessment developed by management and determine whether areas have been missed or minimized. Risk Management Committees also work with management to review the risk mitigation strategies that management has designed and implemented. The committee can then report to the Board to identify any areas that require additional attention or provide assurance that management's risk assessment and risk mitigation approach is sound.

Boards may also consider using independent experts to perform risk assessments and recommend risk mitigation strategies in specific areas or agency-wide. The independent auditor will have reviewed management's risk assessment and risk mitigation strategies in relation to internal controls, so Board conversations with the auditor should include discussion of the adequacy of management's approach to risk. Boards may include a request for risk assessment as part of the responses required from insurance brokers who wish to be considered to work with the CAA. Attorneys with specialized expertise in nonprofit law often provide a form of risk assessment through reviewing the CAA's core legal documents (articles of incorporation, by-laws), board policies and board minutes to provide recommendations about governance risks. Attorneys focusing on employment law and/or human resources consultants may be engaged to review the CAA's employment policies and practices to identify areas of risk and mitigation strategies.

Ultimately, each Board will want to develop a process for identifying risks and evaluating the risk mitigation strategies that the organization has developed to control the risk. Ensuring effective risk assessment and risk mitigation is a core oversight responsibility for every Board. This relates directly to the Board's legal responsibility to protect the assets of the nonprofit and to ensure that all resources are used wisely in the best interest of the corporation.

13. How can representatives of low income communities make an important contribution to risk assessment?

Low income individuals can make tremendously important contributions to risk assessment by sharing their knowledge of how individuals and organizations within low income communities perceive the work of the CAA. By listening to friends, neighbors, and family members, the low income representatives have access to vital information for risk assessment, including:

- Is information about the services of the CAA widely available to average community members?
- Do community members who have sought help through the CAA feel that they have been treated respectfully and fairly?
- Does the information that the CAA provides to individuals and to community organizations make the nature of the services and the requirements for eligibility clear to an average person who is not already knowledgeable about a specific government program?
- Do people in the community perceive the staff of the CAA to be honest?
- Do people in the community perceive that CAA programs are "safe"? If vulnerable people are being served, like children, seniors, or people with disabilities, do community members perceive them to be protected from harm?
- Do you hear suggestions about how to "beat the system" in relation to the CAA?

To get the benefit of the knowledge and insight of low income representatives on the board, the CAA will need to provide an opportunity for confidential communication with the Board committee that is reviewing the organization's risk assessment. While managers generally perform the initial assessment, the Board has a key role in reviewing the work of management

to be sure that risks have been identified clearly. If the observations of the low income community representatives suggest risks that have not been addressed, the Board will need to ask management to determine whether the perceptions reflect reality or whether the underlying issue is really reputation risk – that is the risk that the reputation of the CAA will be damaged by unfair as well as fair perceptions about the competence and integrity of the CAA.

14. How does the size of the CAA impact the Board’s role in risk assessment and risk management?

Effective risk assessment and risk management requires both substantial skill and time. Larger CAAs frequently have sufficient resources to hire top managers with both extensive professional preparation and sufficient time to focus on risk assessment and risk management rather than multiple daily operational tasks. For example, a larger CAA may employ a Chief Financial Officer who is qualified as a CPA and has extensive experience utilizing the COSO framework as an auditor, and is supported by a staff of knowledgeable accounts including a Controller who handles the complex demands of overseeing the accounting system and preparing financial statements. In this structure, the Chief Financial Officer (CFO) has both the time and the expertise required to lead a risk assessment process and may even be able to supervise multiple staff with responsibilities for risk management.

In large organizations in which professional staff have both time and expertise to provide effective leadership in risk assessment and risk mitigation, the Board role often focuses on evaluating the performance of management in these areas. Such Boards frequently utilize committees to address specific components of risk assessment and management including establishing an Audit Committee, Risk Management Committee, Chief Executive Officer (CEO) Compensation Committee, and charging the Executive Committee with particular responsibility for oversight and support of the CEO.

In contrast, in many small and mid-sized CAAs, the person with the CFO or Fiscal Director title is actually fulfilling the role described for the Controller in the larger organization, overseeing the accounting system on a daily basis and preparing financial statements and a variety of funding source reports. So regardless of professional preparation, the fiscal director in the smaller organization may simply not have the time available to lead a comprehensive risk assessment and risk management effort.

In small to mid-sized CAAs, Board members or a Board committee may need to provide leadership in risk assessment and risk management, bringing both professional expertise and mental space to reflecting on the COSO framework within their organization. In some small to mid-sized CAAs, Board members do not have the professional expertise or time required to provide leadership in utilizing the COSO framework, and instead direct the use of resources to obtain professional consulting services for periodic evaluation of risks and risk mitigation strategies.

But regardless of the size of the CAA, Boards have a critical role to play in relation to establishing effective controls by expressing absolute commitment to integrity at every level of the organization and providing resources to ensure that professional expertise is available to ensure both the design and the consistent implementation of cost effective internal controls.

Control Environment

15. What does control environment mean?

The “control environment” refers to the extent to which everyone who has contact with an organization perceives the organization and its leaders to be committed to complete integrity in every aspect of their work. While the presence of policies and procedures which require honesty is an element of the control environment, the actual behavior and attitude of leaders may have a more significant impact on behaviors within an organization. The Board plays a critical role in both establishing a positive control environment and continuously evaluating the control environment which exists within the organization they serve.

16. How can Boards know what the control environment in their CAA really is?

Boards can draw first on their own experiences with the organization, considering the extent to which the Board is demonstrating its commitment to honesty and integrity through its actions as well as words. Board members can reflect upon their experiences with the Executive Director and other staff to understand the extent to which questions raised by the board have been answered fully and information presented to the board has been complete, accurate, and useful. Boards can also reflect on the degree to which their annual performance evaluation of the CEO has provided them with a clear understanding of the person's behaviors in relation to integrity issues.

Board-only discussions with the independent auditor provide an excellent opportunity for the Board to explore the auditor's perceptions regarding the control environment. Board review of reports from funding source monitors may also provide useful information regarding control environment strengths and weaknesses. Whistleblower policies and procedures should be designed to ensure that concerns about integrity and compliance with control procedures are brought to the attention of the Board.

Some Boards form a Risk Management Committee and assign the committee responsibility for evaluating the control environment annually through review of policies and procedures and through interviews with the CEO and key managers. Risk Management Committees may augment the information they receive through these procedures with periodic employee surveys designed to measure employee perception regarding organizational integrity a management attitudes around control issues. Some organizations utilize consultants to conduct exit interviews of some or all departing employees to obtain insight into the actual work environment within the organization.

Board members who are representing low income communities may play a particularly valuable role in building the Board's understanding of the control environment through their direct knowledge of how the organization is perceived by its clients or prospective clients. Risk Management Committee confidential interviews with low income representatives can surface community perceptions of integrity or lack of integrity which can be extremely helpful in building the Board's understanding of the control environment.

17. What is the Board's role in creating and maintaining a positive Control Environment?

The Board sets the tone for the control environment through its selection and oversight of the Executive Director/CEO and through its commitment to attentive, engaged direction of the organization. Maintaining a positive control environment requires regular Board attention for full implementation of the Conflict of Interest policy and meaningful evaluation of the CEO. Boards can reinforce their commitment to integrity and control through contracting with the auditor or other professional resources to review CEO expense reports and executive compensation and benefits. Board or Audit Committee confidential conversations with the independent auditor also provide an important opportunity for understanding the control environment and identifying strategies to strengthen it.

Boards must be committed to following up on any concerns about integrity which may arise through informal as well as formal channels. Some Boards require the use of third party reporting services for whistleblower reporting purposes in order to get expert assistance to follow-up on control concerns.

Control Activities

18. What are Control Activities?

Control activities are the systems, policies, and procedures that CAAs put in place to ensure effective financial management which protects assets and prevents fraud, waste, and abuse. They include fiscal, information technology, human resource, facilities, program, and board policies and procedures designed to prevent improper actions and errors from occurring and detect mistakes (willful or accidental) and ensure correction.

19. What is the Board's role in Control Activities?

Boards most commonly play primarily authorizing and review roles within the organization's overall system of controls. Board approval of the annual budget and authorization of overall CEO/Executive Director compensation are critical control activities. Board review of actual revenues and expenses in comparison to the budget also functions as a control activity, facilitating identification of both potential accounting errors and possible misdirection of resources.

However, given the size, scope, and complexity of operations in most Community Action Agencies, management must take primary responsibility for Control Activities, including the design of control systems, full implementation of the systems, and regular monitoring of internal compliance.

Some control systems utilize Board signatures on checks as a key control activity. As organizations grow more complex, the volume of transactions expands, and the use of electronic payment methods increases, the efficacy of Board signatures on checks as a key control activity becomes less certain. At a minimum, effective use of Board signatures as a control requires training Board signers to conduct a proper review of documentation before signing checks. Inattentive or incomplete review of underlying documentation makes the Board member's signature on the check a very poor control and may actually confuse the process of establishing accountability for improper payments.

More meaningful Board control activities may include:

- Explicit Board approval of the Executive Directors annual compensation including all benefits and perks.
- Periodic review of ED payroll and benefits and spot checks of ED expense reimbursements, or in larger organizations, contracting with an accounting professional to conduct such reviews periodically and report results directly to a designated Board member or committee.
- Explicit Board approval of the opening, closing, signature requirements, and modifications for all bank accounts.
- Explicit Board approval of all mortgage debt, lines of credit, or other corporate borrowing.
- Board approval of very significant purchases, typically including all real estate transactions, either purchase or lease.

Control through Information and Communication

20. Why does effective information sharing and communication matter in relation to the COSO approach to internal controls?

No matter how well an organization has designed its control activities, they won't be effective without getting everyone involved to understand both the organization's commitment to integrity and the specific policies and procedures that have been established. And no matter how well prepared and committed individuals are, mistakes happen. One of the most important controls an organization can utilize to ensure the accuracy of its accounting and financial reporting is to ask staff and managers who have direct knowledge of the work of the organization to review financial reports which relate to their area of activities. Providing reports of revenues and expenses in comparison to budget for specific programs to individuals with direct knowledge of the activities of those programs, provides an essential element of control. Of course for this control to work, the individual reviewing the financial info must be able to communicate their questions and concerns to accounting staff that are must be open to examining the causes of the errors and making corrections.

21. What is the Board's role in information sharing and communication?

Board access to and review of financial information provides an additional level of control by creating the opportunity for truly fresh eyes to spot potential errors or problem areas. However, primary responsibility for the accuracy of financial information must remain with management and Board review of financial information should focus primarily on trends and financial health issues, rather than detailed review of cost center accounting. It may be appropriate for the Finance Committee to review the information sharing and communication procedures that management has implemented. CAA Boards should be aware that periods in which funding has been reduced and staff are expected to do more with less often are accompanied by breakdowns in information sharing and communication which can lead to control weaknesses and compliance failures.

Monitoring

22. What does "monitoring" mean in the COSO framework?

While many Community Action Agencies think of "monitoring" as something that funding sources or other external parties provide, the COSO framework focuses on "monitoring" as a key internal function. Effective systems of internal controls include establishing a consistent process through which an organization conducts its own periodic testing and analysis of whether its controls are working.

Larger Community Action Agencies have begun utilizing a high level staff position (Compliance Officer, Internal Auditor, etc.) to design and manage an internal monitoring system. In smaller CAAs in which funds are not be available to support a separate professional position, consultants can be utilized to establishing an internal monitoring system and help assign responsibilities for implementation of the system to specific positions.

While many Fiscal Directors/CFOs are familiar with the concept of internal auditing and have devised various procedures within the fiscal office to monitor compliance with fiscal policies and procedures, systematic monitoring is also needed to ensure compliance with internal policies and procedures and contractual requirements in all aspects of program service delivery as well as in facilities, human resources, and information technology management.

23. What is the Boards role in Monitoring?

Given the CSBG requirements for tri-partite Boards undertaking specific responsibilities, CAAs must also establish effective monitoring procedures for Board governance. Many Boards conduct an annual assessment of their own performance which includes review of the composition of the board and the board's role in needs assessment, planning, and oversight as required by CSGB.

24. Why don't auditors and funding source monitors provide all the monitoring we could possibly need?

First, by the time an auditor or funding source monitor discovers a breakdown in your systems, damage may already have been done. Remember that independent audits are conducted after the fiscal year is completed and in many cases after specific reports to funding sources have been submitted and some funding agreements have been closed. So, it is often too late to correct mistakes without adverse consequences by the time these external monitors find them.

Perhaps more significantly, auditing standards make it extremely clear that the auditor cannot function as part of the system of controls for organizations they audit. If your auditor did function as part of your system of controls, they would no longer be considered independent and couldn't express an opinion on your financial statements. Part of every audit involves the auditor assessing the adequacy of the internal controls of the organization. The absence of an internal monitoring system is a control weakness in the sense that you have not established a systematic way to be sure that the policies and procedures you have put in place are actually working.

25. Does having a “clean” audit opinion mean that our CAA doesn’t need to worry about risk assessment and internal controls?

No! Effective internal controls require continuous risk assessment and consistent implementation of risk mitigation strategies, including regular review and updating of internal controls.

Community Action Agencies are operating in a period of rapid change, encompassing both dramatic shifts in the availability of funding resources, and continuously emerging control risks.

A “clean” audit opinion provides the Board with assurance that the independent auditor has concluded that the financial statements fairly present the financial condition of the organization.

Auditors use a complex matrix of factors to determine whether any underlying problems with internal controls and compliance are of such significant magnitude that they have resulted in financial statements that do not fairly present the organization’s financial condition. The auditor may have found numerous problems with internal controls and compliance which are very significant in relation to the organization’s compliance with federal requirements but do not reach the level of significance in presentation of the financial statements that would require the auditor to give a “qualified” or not clean opinion. Most CAAs are required to undergo A-133 audits in which the auditor provides additional reports beyond the standard audit opinion letter. In those reports, the auditor identifies specific control and compliance problems. Discussion of these audit findings with the auditor should be an important part of the Board’s risk assessment process.

The completion of an A-133 audit in which the auditor reports no findings, no significant deficiencies or material weaknesses, is a great sign that effective controls have been both designed and implemented. However, even after a successful A-133 audit, Community Action Agencies must continuously assess risks and implement the COSO framework to ensure that current controls are working and to identify emerging risks which must be addressed through new or redesigned controls.

Risk Management and Risk Mitigation

26. What is Risk Mitigation?

Risk mitigation is a term used to describe all the various strategies your CAA uses to reduce or control risks. Risk mitigation can include establishing a positive control environment, adopting and implementing appropriate policies and procedures, hiring competent staff, providing training, monitoring results, and insuring against losses. Once your CAA has identified its most significant risks, the next step will be identifying the risk mitigation strategies that will be most cost effective to control the risks and minimize the damages that the risks may pose to your organization.

27. What is Enterprise Risk Management?

In 1994, COSO released a new framework document – Enterprise Risk Management Integrated Framework –designed to provide more comprehensive guidance for managing risks throughout an organization. The ERM framework incorporates the five key elements of the original COSO Integrated Internal Control Framework (Risk Assessment, Control Environment, Control Activities, Information Sharing and Communication, and Monitoring), and adds 3 additional elements:

- ERM Objective Setting
- ERM Event Identification
- ERM Risk Response

Risk Objective Setting involves high level discussion of an organization’s tolerance and appetite for risks. Most CAAs have extremely limited tolerance for risk due to the pressures of compliance with multiple funding restrictions and compliance requirements and the significance of public opinion in relation to the organization’s access to funding.

Risk Event Identification is a systematic evaluation of the types of risk events which the CAA may encounter, including events that are driven by both external and internal factors. A central element of ERM is the recognition that events are interdependent, not isolated, and that events can have a positive or negative impact, or in some cases both positive and negative impact. Among the external factors considered in an ERM risk identification process are factors relating to economic conditions, the natural environment, political issues, social forces, and technology. Among the internal factors, ERM considers infrastructure, personnel, process, and internal technology.

Ultimately ERM focuses on Risk Response, a systematic process for:

- evaluating strategies to avoid, reduce, share or accept risk;
- evaluating the risk likelihood and impact
- assessing costs versus benefits
- evaluating response opportunities
- utilizing a “portfolio view” to deal with the interdependent issues.

Enterprise Risk Management is now recognized as a key management discipline. Large businesses and governmental entities employ high level ERM Officers. It is probably both unrealistic from a budget standpoint and unnecessary on a practical level for most CAAs to create such positions. However, the underlying concepts should become a part of each CAAs risk assessment process, and larger CAAs may periodically seek pro bono assistance from entities with expert ERM professionals.

CSBG Basics

28. What is CSBG?

The Community Services Block Grant (CSBG) is federal funding provided through the Office of Community Services, a program of the Administration for Children and Families of the U.S. Department of Health and Human Services. CSBG funding is awarded to states, U.S. Territories, and Tribal governments in accord with the provisions of The Community Services Block Grant Act of 1981 as amended by Section 680(a)(2) of the Community Opportunities, Accountability, and Training and Educational Services Act of 1998 (P.L. 105-285).

The Community Services Block Grant (CSBG) provides funds to alleviate the causes and conditions of poverty in communities. OCS awards CSBG funds to States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Territories, and Federal and State-recognized Indian Tribes and tribal organizations, Community Action Agencies, migrant and seasonal farmworkers or other organizations designated by the States.

The CSBG program provides funds to lessen poverty in communities. The funds may be utilized to provide a range of services and activities to assist the needs of low-income individuals including the homeless, migrants and the elderly. Grant amounts are determined by a formula based on each State’s and Indian Tribe’s poverty population. Grantees receiving funds under the CSBG program are required to provide services and activities addressing employment, education, better use of available income, housing, nutrition, emergency services and/or health.

29. What are Community Action Agencies?

Community Action Agencies may be either private nonprofit corporations or public entities that meet the requirements for purpose, governance, and activities specified within the CSBG Act. Community Action Agencies which are operated as private nonprofit corporations organized under state not-for-profit statutes must have governing boards of directors which meet the CSBG Act requirements for Tri-Partite Boards.

When public entity Community Action Agencies operate through a single governmental entity, final authority for their operation rests with the elected governing board of that entity. For example, the County Commission is the final governing authority for a Community Action

Agency operated as part of that county. Some counties choose the form consortiums, through establishing intergovernmental agreements with other counties, to operate a multi-county Community Action Agency. For such consortiums, the intergovernmental agreement establishes the governing structure. Public entity Community Action Agencies are required to establish advisory boards which meet the requirements of the CSBG Act, including the requirement for the tri-partite board.

30. What is a Tri-Partite Board?

The CSBG Act specifies that CSBG eligible entities must be governed by a Tri-Partite Board, which is a board comprised of at least one third representatives of the low income communities served by the entity, one third representatives of elected officials of local governmental entities, and one third representatives of the community at large. The low income representatives of low income communities do not need to be low income themselves but do need to be selected through a “democratic” selection process.

31. How are Representatives of Low Income Communities Selected for Service on a Tri-Partite Board?

The Board may elect individuals who are themselves low income to serve as representatives of low income communities. In order for individuals who are not themselves low income to be considered as “representing low income communities”, they must be chosen in one of the following ways:

- Actual balloting by residents of the low income community
- Election at a community meeting held with proper notice in the low income community
- Selection by community groups which the CAA has designated as being composed primarily of low income people

Details on requirements for election/selection of the low income representatives may be found in Chapter 3 of the CAPLAW CSBG training. The CAPLAW CSBG training can be obtained through this link <http://www.capl原因.org/resources/csbgresources.html>. In addition, one may consult IM-82 for additional guidance with the following link <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im82.html>.

Checklists

Checklist for Strengthening Controls through fully Engaging Low Income Community Representatives

Representatives of low income communities on CAA Boards can make significant contributions toward strengthening internal controls. Their relationships with low income individuals and families and knowledge of community perception and needs are essential for effective controls in a Community Action Agency. If you are a low income community representative, you can use this checklist to identify areas in which you may be able to make a greater contribution to your CAA's internal controls.

How is your CAA benefiting from your experience and understanding of the low income community it serves?	Views are sought & used	Opportunity for Improvement
Low Income Community Representatives are encouraged to:		
• Share community perceptions about the integrity, honesty, and effectiveness of CAA services with management and Board committee conducting risk assessment.		
• Share your perception of community needs, including relative importance and urgency of various need areas as part of the CAA's needs assessment process.		
• Share your perceptions regarding the match between the programs and services the CAA offers and community needs as part of the strategic planning process.		
• Share your perception regarding the effectiveness of the CAA's communication strategies in building broad awareness of the programs and services available to low income individuals and families as part of the <i>strategic planning and evaluation processes</i> .		
• Share your understanding of other community resources, including changes in their availability, that may impact the demand for the CAA's services through the strategic planning process		
• Observe program activities and provide feedback about the treatment of participants and quality of services as part of Board evaluation of programs.		
• Participate actively in the Board's discussion of the annual budget to understand the proposed use of resources and express your views about priorities for the use of unrestricted funds.		
• Other areas in which your knowledge of the community is essential to effective operation of the CAA?		
• Fully understand the role of the Board as a whole and the specific responsibilities of low income community representatives required under the terms of funding agreements, including the tri-partite Board requirements contained in the CSBG Act.		
• Fully understand the financial condition of the CAA, including understanding its monthly financial reports		
• Share your perceptions about the effectiveness of board practices, including the processes used at board and committee meetings, as part of the Board's annual self-evaluation.		
• Raise questions and offer observations based on your experience during Board discussions.		
• Share your observations regarding strategies that would support full participation by all low income representatives including meeting times, locations, the availability of child care, transportation, or other needed assistance, interpretation services, and other factors which could increase participation by low income representatives.		

Program Manager Control Checklist

Program Manager Controls	Implemented Fully	Implemented Partially	Not Implemented
Risk Assessment			
<ul style="list-style-type: none"> You review each new funding agreement related to your program to identify compliance requirements & determine whether adequate control systems are in place to ensure compliance 			
<ul style="list-style-type: none"> You are required to report risks you observe & clear about the process for reporting & investigating your concerns 			
<ul style="list-style-type: none"> You are regularly asked to participate in risk assessment discussions 			
Control Environment			
<ul style="list-style-type: none"> The Board has established an environment which demands honesty and integrity and encourages all staff to report concerns without retaliation 			
<ul style="list-style-type: none"> Management demonstrates the highest standards of honesty & integrity and encourages all staff to report concerns without retaliation 			
<ul style="list-style-type: none"> You seek feedback from staff you supervise to understand their perceptions regarding expectations for honesty and integrity 			
<ul style="list-style-type: none"> Procedures for dealing with concerns about honesty & integrity are clear 			
<ul style="list-style-type: none"> You have confidence that “whistleblowers” will be treated respectfully & will not face retaliation 			
Control Activities			
<ul style="list-style-type: none"> You have meaningful input in the job descriptions and hiring decisions for all positions within your program 			
<ul style="list-style-type: none"> You review & approve the personnel activity reports for all employees you directly supervise 			
<ul style="list-style-type: none"> You utilize consistent procedures to be certain that employees you supervise who function as supervisors are providing meaningful review of personal activity reports for those they supervise 			
<ul style="list-style-type: none"> You are responsible for ensuring that all 			

purchases made through your program are necessary, reasonable, and allowable			
<ul style="list-style-type: none"> You provide input into procurement requirements for goods and services which will be utilized for your program 			
Information Sharing & Communication			
<ul style="list-style-type: none"> You have easy access to current fiscal policies and procedures which are clear and understandable 			
<ul style="list-style-type: none"> You receive regular training regarding changes in fiscal policies and procedures and your responsibilities in regard to maintain fiscal controls 			
<ul style="list-style-type: none"> You have access to information about requirements contained in all funding agreements supporting your program and receive regular training regarding changes or problem areas 			
<ul style="list-style-type: none"> You have adequate time and support to communicate fully with employees you supervise regarding fiscal and program policies and procedures, quality standards, and control expectations 			
<ul style="list-style-type: none"> You provide regular input into the design of training and resource materials to assist staff in understanding and complying with control policies and procedures 			
Monitoring			
<ul style="list-style-type: none"> You systematically review program service data from programs you supervise to ensure that they are complete and accurate 			
<ul style="list-style-type: none"> You review monthly financial data for programs you supervise, comparing actual to budget, and identifying potential errors or omissions 			
<ul style="list-style-type: none"> You fully understand the process to report and resolve program and financial data questions and errors is clear and follow it consistently 			

Board and Board Committees Controls Checklist

Board and Board Committees Controls Checklist	Document Reviewed	Reviewer	Date
1. Board Policies			
• Conflict of Interest			
• CEO Evaluation and Compensation Setting			
• Audit Policy			
• Investment Policy			
• Risk Management Policy			
• Tri-Partite Board Composition			
• Board Role in Needs Assessment & Planning			
2. Implementation of Board Policies			
• Conflict of Interest Procedures			
• CEO Evaluation			
• CEO Compensation Review & Setting			
• Procedure for Auditor selection & audit review			
• Investment performance review			
• Risk management review			
• Board composition review			
• Board participation in needs assessment & strategic planning			
3. Full Board Financial Oversight			
• Establish Finance & Audit Committees			
• Review performance of Finance & Audit Committees			
• Annual budget approval			
• Monthly financial statement review			
• Review of annual independent audit			
4. Finance Committee Checklist			
• Review draft annual budget for consistency with board policy and strategies			
• Recommend annual budget for board approval			
• Review monthly financial statements including Statement of Financial Position, Statement of Activities, and Statement of Cash Flows			
• Review management recommendations for addressing financial challenges and make recommendations to full board			
• Review cash management policies			
• Evaluate use of lines of credit and management proposals for borrowing – forward recommendations for full board approval for borrowing			

5. Check Signer Checklist			
<ul style="list-style-type: none"> Review underlying documentation for all checks to verify proper approvals, consistency in payee and amount and overall reasonableness 			
<ul style="list-style-type: none"> Decline to sign until questions are resolved 			
<ul style="list-style-type: none"> Report repeated errors to Audit Committee 			
6. Audit Committee Responsibilities			
<ul style="list-style-type: none"> Auditor selection 			
<ul style="list-style-type: none"> Establish direct communication with auditor 			
<ul style="list-style-type: none"> Review of audit findings 			
<ul style="list-style-type: none"> Confidential discussion with auditor 			
<ul style="list-style-type: none"> Recommendations to Board and management regarding audit findings 			
<ul style="list-style-type: none"> Evaluate performance of Finance Committee 			
7. Investment Oversight			
<ul style="list-style-type: none"> Policy review and update 			
<ul style="list-style-type: none"> Selection of investment advisors/managers 			
<ul style="list-style-type: none"> Review performance of investment managers 			
8. Board Risk Management Oversight			
<ul style="list-style-type: none"> Review & revised management's risk assessment 			
<ul style="list-style-type: none"> Identify risk appetite/tolerance levels 			
<ul style="list-style-type: none"> Review management's risk mitigation plan 			
<ul style="list-style-type: none"> Obtain periodic independent review of risk assessment & risk mitigation plan 			
<ul style="list-style-type: none"> Review adequacy of insurance coverage 			
<ul style="list-style-type: none"> Advice full Board regarding significant risks which have not been adequately mitigated 			
9. Board Compliance Oversight			
<ul style="list-style-type: none"> Identify Board committee responsible for Compliance Oversight and establish committee charge 			
<ul style="list-style-type: none"> Review compliance findings in independent audit and/or monitoring reports 			
<ul style="list-style-type: none"> Monitor progress in resolving findings and improving compliance 			
<ul style="list-style-type: none"> Review management's structure for achieving compliance 			
<ul style="list-style-type: none"> Discuss management's compliance structure with independent auditor 			

Control Review Checklist

Control	Control documentation reviewed	Reviewed by	Review date
Control Environment			
Conflict of Interest P&P			
Whistleblower Policy			
Code of Ethics/Integrity policy			
Board evaluation of CEO			
Board review of compensation & management capacity			
Board review of monthly financial statements			
Board audit committee/auditor discussions			
Board review of resolution of audit & monitoring findings			
Board review of programmatic accomplishments			
Other			
General Risk Assessment			
External risk review including funding environment, community perception, changing demand/need for services			
Review and update of internal risk identification			
Exposure analysis- ranking of risks by significance of potential losses and likelihood of occurrence			
Contract Compliance Risk Assessment:			
OMB A-110 requirements			
• Allowable activities			
• Allowable cost			
• Cash management			
• Davis Bacon act			
• Eligibility			
• Equip/Real Property management			
• Matching/level of effort			
• Period of availability of fed funds			
• Procurement, suspension & debarment			
• Program income			
• Real property acquisition			
• Reporting			
• Sub recipient monitoring			
• Special tests & provisions			
OMB A-122 requirements			
• Current approved federal indirect cost rate			

<ul style="list-style-type: none"> Monitoring of actual indirect costs in comparison to budget 			

Control	Control documentation reviewed	Reviewed by	Review date
CFR Requirements			
<ul style="list-style-type: none"> Review of CFRs for each funding source Policies & procedures to assure compliance with CFR requirements varying from OMB Circulars 			
Control Activities			
Written fiscal and operational policies & procedures			
Top management review of financial & program activities			
Management reviews at program or functional level			
Controls over info processing/IT			
Physical controls over vulnerable assets			
Review of performance indicators			
Segregation of duties			
Proper execution of transactions & events			
Accurate & timely recording of events			
Access restrictions & accountability for resources & records			
Appropriate documentation of transactions & internal control			
Information & Communication			
Monthly financial reporting at program and organization level			
Monthly program accomplishment reporting at program & organizational level			
Manager access to operational and financial data as needed for planning and oversight			
Structures, policies, and procedures to encourage open information flow among all levels of the organization			
Monitoring			
Monthly comparison of planned program and financial activity to actual reviewed by program managers, top management, & Board			
System for tracking all audit & monitoring findings and their correction or resolution			

Responsibility for achieving correction or resolution of all findings clearly assigned			
Authority to resolve/correct findings clearly assigned			

Control	Control documentation reviewed	Reviewed by	Review date
Monitoring – continued			
Progress resolving/correcting findings monitored regularly by CEO & Board			
Reconciliations to verify financial & program data reports routinely completed and reviewed by managers			

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NEWS RELEASES AND PUBLIC INFORMATION

205 NEWS RELEASES AND PUBLIC INFORMATION

I Purpose

It is to the Agency's advantage to circulate factual information about ALPI on an ongoing basis by providing news and information to the media in order to ensure items of interest are communicated to the public and ALPI remains in public view.

II Policy

News Releases, Public Information Announcements and questions from media representatives of impact on the agency's name, reputation, influence, facilities or other resources are to be directed to the Chief Executive Officer for direction and clearance to speak on the Agency's behalf.

New releases and media should be released from the Chief Executive Officer unless other directed to the department level.

All local news and information which does not have agency wide impact must be approved by the Department Director responsible for those activities, prior to release. This would include, but not be limited to sponsorship of local community events and on-going activities, recruitment of children, etc.

III Procedure

It is of primary importance to protect the interests of ALPI by avoiding the danger of confusion, inconsistency and misinterpretation of facts and/or services.

A Responsibility of Department Directors

Prepare all news releases and information to be released to the media and public. Other agency representatives may release information to the media when previously authorized to do so.

B Approval Agency-wide Information

1 Written or Verbal Statements

All written or verbal statements released to the media must be authorized by the Chief Executive Officer prior to release. The Chief Executive Officer may assist in providing guidance to agency representatives conducting interviews with the media.

Head Start Program Performance Standards

45 CFR Chapter XIII
(10-1-09 Edition)

[With Part 1307, Federal Register Version]

U.S. Department of Health and Human Services
Administration for Children and Families
Office of Head Start



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Subpart D—Program Design and Management

§ 1304.50 Program governance.

(a) *Policy Council, Policy Committee, and Parent Committee structure.* (1) Grantee and delegate agencies must establish and maintain a formal structure of shared governance through which parents can participate in policy making or in other decisions about the program. This structure must consist of the following groups, as required:

(i) Policy Council. This Council must be established at the grantee level.

(ii) Policy Committee. This Committee must be established at the delegate agency level when the program is administered in whole or in part by such agencies (see 45 CFR 1301.2 for a definition of a delegate agency).

(iii) Parent Committee. For center-based programs, this Committee must be established at the center level. For other program options, an equivalent Committee must be established at the local program level. When programs operate more than one option from the same site, the Parent Committee membership is combined unless parents choose to have a separate Committee for each option.

(2) Parent Committees must be comprised exclusively of the parents of children currently enrolled at the center level for center-based programs or at the equivalent level for other program options (see 45 CFR 1306.3(h) for a definition of a Head Start parent).

(3) All Policy Councils, Policy Committees, and Parent Committees must be established as early in the program year as possible. Grantee Policy Councils and delegate Policy Committees may not be dissolved until successor Councils or Committees are elected and seated.

(4) When a grantee has delegated the entire Head Start program to one delegate agency, it is not necessary to have a Policy Committee in addition to a grantee agency Policy Council.

(5) The governing body (the group with legal and fiscal responsibility for administering the Early Head Start or Head Start program) and the Policy Council or Policy Committee must not have identical memberships and functions.

(b) *Policy group composition and formation.* (1) Each grantee and delegate agency governing body operating an Early Head Start or Head Start program must (except where such authority is ceded to the Policy Council or Policy Committee) propose, within the framework of these regulations, the total size of their respective policy groups (based on the number of centers, classrooms or other program option units, and the number of children served by their Early Head Start or Head Start program), the procedures for the election of parent members, and the procedure for the selection of community representatives. These proposals must be approved by the Policy Council or Policy Committee.

(2) Policy Councils and Policy Committees must be comprised of two types of representatives: parents of currently enrolled children and community representatives. At least 51 percent of the members of these policy groups must be the parents of currently enrolled children (see 45 CFR 1306.3(h) for a definition of a Head Start parent).

(3) Community representatives must be drawn from the local community: businesses; public or private community, civic, and professional organizations; and others who are familiar with resources and services for low-income children and families, including for example the parents of formerly enrolled children.

(4) All parent members of Policy Councils or Policy Committees must stand for election or re-election annually. All community representatives also must be selected annually.

(5) Policy Councils and Policy Committees must limit the number of one-year terms any individual may serve on either body to a combined total of three terms.

(6) No grantee or delegate agency staff (or members of their immediate families) may serve on Policy Councils or Policy Committees except parents who occasionally substitute for regular Early Head Start or Head Start staff. In the case of Tribal grantees, this exclusion applies only to Tribal staff who work in areas directly related to or which directly impact upon any Early

Head Start or Head Start administrative, fiscal or programmatic issues.

(7) Parents of children currently enrolled in all program options must be proportionately represented on established policy groups.

(c) *Policy group responsibilities—general.* At a minimum policy groups must be charged with the responsibilities described in paragraphs (d), (f), (g), and (h) of this section and repeated in appendix A of this section.

(d) *The Policy Council or Policy Committee.* (1) Policy Councils and Policy Committees must work in partnership with key management staff and the governing body to develop, review, and approve or disapprove the following policies and procedures:

(i) All funding applications and amendments to funding applications for Early Head Start and Head Start, including administrative services, prior to the submission of such applications to the grantee (in the case of Policy Committees) or to HHS (in the case of Policy Councils);

(ii) Procedures describing how the governing body and the appropriate policy group will implement shared decision-making;

(iii) Procedures for program planning in accordance with this part and the requirements of 45 CFR 1305.3;

(iv) The program's philosophy and long- and short-range program goals and objectives (see 45 CFR 1304.51(a) and 45 CFR 1305.3 for additional requirements regarding program planning);

(v) The selection of delegate agencies and their service areas (this regulation is binding on Policy Councils exclusively) (see 45 CFR 1301.33 and 45 CFR 1305.3(a) for additional requirements about delegate agency and service area selection, respectively);

(vi) The composition of the Policy Council or the Policy Committee and the procedures by which policy group members are chosen;

(vii) Criteria for defining recruitment, selection, and enrollment priorities, in accordance with the requirements of 45 CFR part 1305;

(viii) The annual self-assessment of the grantee or delegate agency's progress in carrying out the programmatic and fiscal intent of its

grant application, including planning or other actions that may result from the review of the annual audit and findings from the Federal monitoring review (see 45 CFR 1304.51(i)(1) for additional requirements about the annual self-assessment);

(ix) Program personnel policies and subsequent changes to those policies, in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants, and volunteers;

(x) Decisions to hire or terminate the Early Head Start or Head Start director of the grantee or delegate agency; and

(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the grantee or delegate agency.

(2) In addition, Policy Councils and Policy Committees must perform the following functions directly:

(i) Serve as a link to the Parent Committees, grantee and delegate agency governing bodies, public and private organizations, and the communities they serve;

(ii) Assist Parent Committees in communicating with parents enrolled in all program options to ensure that they understand their rights, responsibilities, and opportunities in Early Head Start and Head Start and to encourage their participation in the program;

(iii) Assist Parent Committees in planning, coordinating, and organizing program activities for parents with the assistance of staff, and ensuring that funds set aside from program budgets are used to support parent activities;

(iv) Assist in recruiting volunteer services from parents, community residents, and community organizations, and assist in the mobilization of community resources to meet identified needs; and

(v) Establish and maintain procedures for working with the grantee or delegate agency to resolve community complaints about the program.

(e) *Parent Committee.* The Parent Committee must carry out at least the following minimum responsibilities:

(1) Advise staff in developing and implementing local program policies, activities, and services;

(2) Plan, conduct, and participate in informal as well as formal programs and activities for parents and staff; and

(3) Within the guidelines established by the governing body, Policy Council, or Policy Committee, participate in the recruitment and screening of Early Head Start and Head Start employees.

(f) *Policy Council, Policy Committee, and Parent Committee reimbursement.* Grantee and delegate agencies must enable low-income members to participate fully in their group responsibilities by providing, if necessary, reimbursements for reasonable expenses incurred by the members.

(g) *Governing body responsibilities.* (1) Grantee and delegate agencies must have written policies that define the roles and responsibilities of the governing body members and that inform them of the management procedures and functions necessary to implement a high quality program.

(2) Grantee and delegate agencies must ensure that appropriate internal controls are established and implemented to safeguard Federal funds in accordance with 45 CFR 1301.13.

(h) *Internal dispute resolution.* Each grantee and delegate agency and Policy Council or Policy Committee jointly must establish written procedures for resolving internal disputes, including impasse procedures, between the governing body and policy group.

APPENDIX A—GOVERNANCE AND MANAGEMENT RESPONSIBILITIES

[A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]

Function	Grantee Agency		Delegate Agency		Grantee or Delegate Management Staff	
	Governing Body	Policy Council	Governing Body	Policy Cmte.	HS* Program Director	Agency Director
I. Planning						
(a) 1304.50(d)(1)(iii) Procedures for program planning in accordance with this Part and the requirements of 45 CFR 1305.3.	A & C	C	C	C	B	D
(b) 1304.50(d)(1)(iv) The program's philosophy and long- and short-range program goals and objectives (see 45 CFR 1304.51(a) and 45 CFR 1305.3 for additional requirements regarding program planning).	A & C	C	C	C	B	D
(c) 1304.50(d)(1)(v) The selection of delegate agencies and their service areas (this regulation is binding on Policy Councils exclusively) (see 45 CFR 1301.33 and 45 CFR 1305.3(a) for additional requirements about delegate agency and service area selection, respectively).	A & C	C	—	—	B (Grantee only)	D (Grantee only)
(d) 1304.50(d)(1)(vii) Criteria for defining recruitment, selection, and enrollment priorities, in accordance with the requirements of 45 CFR Part 1305.	A	C	A	C	B	D
(e) 1304.50(d)(1)(i) All funding applications and amendments to funding applications for Early Head Start and Head Start, including administrative services, prior to the submission of such applications to the grantee (in the case of Policy Committees) or to HHS (in the case of Policy Councils).	A & C	C	A & C	C	B	D

APPENDIX A—GOVERNANCE AND MANAGEMENT RESPONSIBILITIES—Continued

[A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]

Function	Grantee Agency		Delegate Agency		Grantee or Delegate Management Staff	
	Governing Body	Policy Council	Governing Body	Policy Cmte.	HS* Program Director	Agency Director
(f) 1304.50(f) Policy Council, Policy Committee, and Parent Committee reimbursement. Grantee and delegate agencies must enable low-income members to participate fully in their group responsibilities by providing, if necessary, reimbursements for reasonable expenses incurred by the members.	A	C	A	C	B	D
(g) 1304.50(d)(1)(viii) The annual self-assessment of the grantee or delegate agency's progress in carrying out the programmatic and fiscal intent of its grant application, including planning or other actions that may result from the review of the annual audit and findings from the Federal monitoring review (see 45 CFR 1304.51(i)(1) for additional requirements about the annual self-assessment).	A	C	A	C	B	D
II. General Procedures						
(a) 1304.50(d)(1)(vi) The composition of the Policy Council or the Policy Committee and the procedures by which policy group members are chosen.	A & C	C	A & C	C	B	D
(b) 1304.50(g)(1) Grantee and delegate agencies must have written policies that define the roles and responsibilities of the governing body members and that inform them of the management procedures and functions necessary to implement a high quality program.	A & C	—	A & C	—	—	D
(c) 1304.50(d)(1)(ii) Procedures describing how the governing body and the appropriate policy group will implement shared decision-making.	A & C	C	A & C	C	D	D
(d) 1304.50(h) Internal dispute resolution. Each grantee and delegate agency and Policy Council or Policy Committee jointly must establish written procedures for resolving internal disputes, including impasse procedures, between the governing body and policy group.	A & C	C	A & C	C	D	D
(e) 1304.50(d)(2)(v) Establish and maintain procedures for hearing and working with the grantee or delegate agency to resolve community complaints about the program.	B	B	B	B	D	D

APPENDIX A—GOVERNANCE AND MANAGEMENT RESPONSIBILITIES—Continued

[A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]

Function	Grantee Agency		Delegate Agency		Grantee or Delegate Management Staff	
	Governing Body	Policy Council	Governing Body	Policy Cmte.	HS* Program Director	Agency Director
(f) 1304.50(g)(2) Grantee and delegate agencies must ensure that appropriate internal controls are established and implemented to safeguard Federal funds in accordance with 45 CFR 1301.13.	A	—	A	—	D	D
(g) The annual independent audit that must be conducted in accordance with 45 CFR 1301.12.	A	—	A	—	D	D

III. Human Resources Management

(a) 1304.50(d)(1)(ix) Program personnel policies and subsequent changes to those policies, in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants, and volunteers.	A & C	C	A & C	C	D	D
(b) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the grantee agency.	A & C	C	—	—	—	D
(c) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the grantee agency.	A	C	—	—	B (Grantee only)	D
(d) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the delegate agency.	—	—	A & C	C	—	D
(e) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the delegate agency.	—	—	A	C	B (Delegate only)	D

KEY AND DEFINITIONS AS USED IN CHART

*When a grantee or delegate agency operates an Early Head Start program only and not an Early Head Start and a Head Start program, these responsibilities apply to the Early Head Start Director.

A. General Responsibility. The group with legal and fiscal responsibility that guides and oversees the carrying out of the functions described through the individual or group given operating responsibility.

B. Operating Responsibility. The individual or group that is directly responsible for carrying out or performing the functions consistent with the general guidance and oversight from the group holding general responsibility.

C. Must Approve or Disapprove. The group that must be involved in the decision-making process prior to the point of seeking approval. If it does not approve, a proposal cannot be adopted, or the proposed action taken, until agreement is reached between the disagreeing groups.

D. Determined locally. Management staff functions as determined by the local governing body and in accordance with all Head Start regulations.

(The information and collection requirements are approved by the Office of Management and Budget (OMB) under OMB Control Number 0970–0148 for paragraphs (f), (g), and (h).)

[61 FR 57210, Nov. 5, 1996, as amended at 63 FR 2314, Jan. 15, 1998]

§ 1304.51 Management systems and procedures.

(a) Program planning. (1) Grantee and delegate agencies must develop and implement a systematic, ongoing process of program planning that includes con-

sultation with the program’s governing body, policy groups, and program staff, and with other community organizations that serve Early Head Start and

HEAD START ACT as amended

42 USC 9801 et. seq.

Legislative Authority: Head Start Act, as amended.

U.S. Code Citation: 42 USC 9801 et. seq.

ACF Regulations: 45 CFR 1301 et. seq.

Legislative History:

The *Head Start Act* is Title VI, Subtitle A, Chapter 8, Subchapter B of the *Omnibus Budget Reconciliation Act of 1981*, P.L. 97-35. Minor amendments to this Act were made by the *Technology-Related Assistance for Individuals With Disabilities Amendments of 1993*, P.L. 103-218. This Act was reauthorized through fiscal year 2003 by the *Coats Human Services Amendments of 1998*, P.L. 105-285. This Act was most recently reauthorized by the *Improving Head Start for School Readiness Act of 2007*, P.L. 110-134.

Note: This compilation was prepared by HHS staff who have striven to ensure it is complete and accurate. However, this is not an official compilation and may not be completely free of error. Additions to the Head Start Act originating from the *Improving Head Start for School Readiness Act of 2007*, Public Law 110-134, appear in **bold**.

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Sec. 635. **SHORT TITLE**

[42 U.S.C. 9801]

This subchapter may be cited as the "Head Start Act".

Sec. 636. **STATEMENT OF PURPOSE**

[42 U.S.C. 9831]

It is the purpose of this subchapter to promote the school readiness of **low-income children by enhancing their cognitive, social, and emotional development—**

(1) in a learning environment that supports children's growth in language, literacy, mathematics, science, social and emotional functioning, creative arts, physical skills, and approaches to learning; and

(2) through the provision to low-income children and their families of health, educational, nutritional, social, and other services that are determined, based on family needs assessments, to be necessary.

Sec. 637. **DEFINITIONS**

[42 U.S.C. 9832]

For purposes of this subchapter:

(1) The term "child with a disability" means--

(A) a child with a disability, as defined in section 602(3) of the Individuals with Disabilities Education Act; and

(B) an infant or toddler with a disability, as defined in section 632(5) of such Act.

(2) The term "deficiency" means—

(A) a systemic or substantial material failure of an agency in an area of performance that the Secretary determines involves—

(i) a threat to the health, safety, or civil rights of children or staff;

(ii) a denial to parents of the exercise of their full roles and responsibilities related to program operations;

(iii) a failure to comply with standards related to early childhood development and health services, family and community partnerships, or program design and management;

(iv) the misuse of funds received under this subchapter;

(v) **loss of legal status (as determined by the Secretary) or financial viability, loss of permits, debarment from receiving Federal grants or contracts, or the improper use of Federal funds; or**

(vi) **failure to meet any other Federal or State requirement that the agency has shown an unwillingness or inability to correct, after notice from the Secretary, within the period specified;**

(B) systemic or material failure of the governing body of an agency to fully exercise its legal and fiduciary responsibilities; or

(C) an unresolved area of noncompliance.

(3) The term "delegate agency" means a public, private nonprofit **(including a community based organization, as defined in section 9101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 7801)**, or for profit organization or agency to which a grantee has delegated all or part of the responsibility of the grantee for operating a Head Start program.

(4) The term "family literacy services" means services that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

(A) Interactive literacy activities between parents and their children.

(B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.

(C) Parent literacy training that leads to economic self-sufficiency **and financial literacy.**

(D) An age-appropriate education to prepare children for success in school and life experiences.

(5) The term "financial assistance" includes assistance provided by grant, agreement, or contract, and payments may be made in installments and in advance or by way of reimbursement with necessary adjustments on account of overpayments or underpayments.

(6) The term "full-calendar-year" means all days of the year other than Saturday, Sunday, and a legal public holiday.

(7) The term "full-working-day" means not less than 10 hours per day. Nothing in this paragraph shall be construed to require an agency to provide services to a child who has not reached the age of compulsory school attendance for more than the number of hours per day permitted by State law (including regulation) for the provision of services to such a child.

(8) The term "Head Start classroom" means a group of children supervised and taught by two paid staff members (a teacher and a teacher's aide or two teachers) and, where possible, a volunteer.

(9) The term "Head Start family day care" means Head Start services provided in a private residence other than the residence of the child receiving such services.

(10) The term "home-based Head Start program" means a Head Start program that provides Head Start services in the private residence of the child receiving such services.

(11) The term "homeless children" has the meaning given the term 'homeless children and youths' in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)).

(12) The term "Indian tribe" means any tribe, band, nation, pueblo, or other organized group or community of Indians, including any Native village described in section 3(c) of the Alaska Native Claims Settlement Act (43 U.S.C. 1602(c)) or established pursuant to such Act (43 U.S.C. 1601 et seq.), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

(13) The term "institution of higher education" has the meaning given the term in section 101(a) of the Higher Education Act of 1965 (20 U.S.C. 1001(a)).

(14) The term "interrater reliability" means the extent to which 2 or more independent raters or observers consistently obtain the same result when using the same assessment tool.

(15) The term "limited English proficient", used with respect to a child, means a child—

(A)(i) who was not born in the United States or whose native language is a language other than English;

(ii)(I) who is a Native American (as defined in section 9101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 7801)), an Alaska Native, or a native resident of an outlying area (as defined in such section 9101); and

(II) who comes from an environment where a language other than English has had a significant impact on the child's level of English language proficiency; or

(iii) who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; and

(B) whose difficulties in speaking or understanding the English language may be sufficient to deny such child—

(i) the ability to successfully achieve in a classroom in which the language of instruction is English; or

(ii) the opportunity to participate fully in society.

(16) The term "local educational agency" has the meaning given such term in the Elementary and Secondary Education Act of 1965.

(17) The term "migrant **or** seasonal Head Start program" means

(A) with respect to services for migrant farmworkers, a Head Start program that serves families who are engaged in agricultural labor and who have changed their residence from one geographic location to another in the preceding 2-year period; and

(B) with respect to services for seasonal farmworkers, a Head Start program that serves families who are engaged primarily in seasonal agricultural labor and who have not changed their residence to another geographic location in the preceding 2-year period.

(18) The term "mobile Head Start program" means the provision of Head Start services utilizing transportable equipment set up in various community-based locations on a routine, weekly schedule, operating in conjunction with home-based Head Start programs, or as a Head Start classroom.

(19) The term "poverty line" means the official poverty line (as defined by the Office of Management and Budget)--

(A) adjusted to reflect the percentage change in the Consumer Price Index For All Urban Consumers, issued by the Bureau of Labor Statistics, occurring in the 1-year period or other interval immediately preceding the date such adjustment is made; and

(B) adjusted for family size.

(20) The term "**principles of scientific research**" means principles of research that—

(A) apply rigorous, systematic, and objective methodology to obtain reliable and valid knowledge relevant to education activities and programs;

(B) present findings and make claims that are appropriate to and supported by methods that have been employed; and

(C) include, as appropriate to the research being conducted—

(i) use of systematic, empirical methods that draw on observation or experiment;

- (ii) use of data analyses that are adequate to support the general findings;
- (iii) reliance on measurements or observational methods that provide reliable and generalizable findings;
- (iv) strong claims of causal relationships, only with research designs that eliminate plausible competing explanations for observed results, such as, but not limited to, random assignment experiments;
- (v) presentation of studies and methods in sufficient detail and clarity to allow for replication or, at a minimum, to offer the opportunity to build systematically on the findings of the research;
- (vi) acceptance by a peer-reviewed journal or critique by a panel of independent experts through a comparably rigorous, objective, and scientific review; and
- (vii) consistency of findings across multiple studies or sites to support the generality of results and conclusions.

(21) The term “professional development” means high-quality activities that will improve the knowledge and skills of Head Start teachers and staff, as relevant to their roles and functions, in program administration and the provision of services and instruction, as appropriate, in a manner that improves service delivery to enrolled children and their families, including activities that—

- (A) are part of a sustained effort to improve overall program quality and outcomes for enrolled children and their families;
- (B) are developed or selected with extensive participation of administrators and teachers from Head Start programs;
- (C) are developmentally appropriate for the children being served;
- (D) include instruction in ways that Head Start teachers and staff may work more effectively with parents, as appropriate;
- (E) are designed to give Head Start teachers and staff the knowledge and skills to provide instruction and appropriate support services to children of diverse backgrounds, as appropriate;
- (F) may include a 1-day or short-term workshop or conference, if the workshop or conference is consistent with the goals in the professional development plan described in section 648A(f) and will be delivered by an institution of higher education or other entity, with expertise in delivering training in early childhood development, training in family support, and other assistance designed to improve the delivery of Head Start services; and

(G) in the case of teachers, assist teachers with—

(i) the acquisition of the content knowledge and teaching strategies needed to provide effective instruction and other school readiness services regarding early language and literacy, early mathematics, early science, cognitive skills, approaches to learning, creative arts, physical health and development, and social and emotional development linked to school readiness;

(ii) meeting the requirements in paragraphs (1) and (2) of section 648A(a), as appropriate;

(iii) improving classroom management skills, as appropriate;

(iv) advancing their understanding of effective instructional strategies that are—

(I) based on scientifically valid research; and

(II) aligned with—

(aa) the Head Start Child Outcomes Framework developed by the Secretary and, as appropriate, State early learning standards; and

(bb) curricula, ongoing assessments, and other instruction and services, designed to help meet the standards described in section 641A(a)(1);

(v) acquiring the knowledge and skills to provide instruction and appropriate language and support services to increase the English language skills of limited English proficient children, as appropriate; or

(vi) methods of teaching children with disabilities, as appropriate.

(22) The term "scientifically based reading research" –

(A) means the application of rigorous, systematic and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) shall include research that--

(i) employs systematic, empirical methods that draw on observation or experiment;

- (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
- (iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and
- (iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

(23) The term “scientifically valid research” includes applied research, basic research, and field-initiated research in which the rationale, design, and interpretation are soundly developed in accordance with principles of scientific research.

(24) The term "Secretary" means the Secretary of Health and Human Services.

(25) The term “State” means a State, the Commonwealth of

Puerto Rico, the District of Columbia, Guam, American Samoa, the Virgin Islands of the United States, and the Commonwealth of the Northern Mariana Islands. **The term includes the Republic of Palau for fiscal years 2008 and 2009, and (if the legislation described in section 640(a)(2)(B)(v) has not been enacted by September 30, 2009) for fiscal years 2010 through 2012.**

(26) The term “unresolved area of noncompliance” means failure to correct a noncompliance item within 120 days, or within such additional time (if any) as is authorized by the Secretary, after receiving from the Secretary notice of such noncompliance item, pursuant to section 641A(c).

Sec. 638. FINANCIAL ASSISTANCE FOR HEAD START PROGRAMS
[42 U.S.C. 9833]

The Secretary may, upon application by an agency which is eligible for designation as a Head Start agency pursuant to section 641, provide financial assistance to such agency **for a period of 5 years** for the planning, conduct, administration and evaluation of a Head Start program focused primarily upon the children from low-income families who have not reached the age of compulsory school attendance which (1) will provide such comprehensive health, education, parental involvement, nutritional, social, and other services as will enable the children to attain their full potential and attain school readiness; and (2) will provide for direct participation of the parents of such children in the development, conduct, and overall program direction at the local level.

Sec. 639. AUTHORIZATION OF APPROPRIATIONS
[42 U.S.C. 9834]

There are authorized to be appropriated to carry out this subchapter (other than section 657B) \$7,350,000,000 for fiscal year 2008, \$7,650,000,000 for fiscal year 2009, 7,995,000,000 for fiscal year 2010, and such sums as may be necessary for each of fiscal years 2011 and 2012.

Sec. 640. ALLOTMENT OF FUNDS; LIMITATIONS ON ASSISTANCE
[42 U.S.C. 9835]

(a)(1) Using the sums appropriated pursuant to section 639 for a fiscal year, the Secretary shall allocate such sums in accordance with paragraphs (2) through (5).

(2)(A) The Secretary shall determine an amount for each fiscal year for each State that is equal to the amount received through base grants for the prior fiscal year by the Head Start agencies (including Early Head Start agencies) in the State that are not described in clause (ii) or (iii) of subparagraph (B).

(B) The Secretary shall reserve for each fiscal year such sums

as are necessary—

(i) to provide each amount determined for a State under subparagraph (A) to the Head Start agencies (including Early Head Start agencies) in the State that are not described in clause (ii) or (iii), by allotting to each agency described in this clause an amount equal to that agency's base grant for the prior fiscal year;

(ii) to provide an amount for the Indian Head Start programs that is equal to the amount provided for base grants for such programs under this subchapter for the prior fiscal year, by allotting to each Head Start agency (including each Early Head Start agency) administering an Indian Head Start program an amount equal to that agency's base grant for the prior fiscal year;

(iii) to provide an amount for the migrant and seasonal Head Start programs, on a nationwide basis, that is equal to the amount provided nationwide for base grants for such programs under this subchapter for the prior fiscal year, by allotting to each Head Start agency administering a migrant or seasonal Head Start program an amount equal to that agency's base grant for the prior fiscal year;

(iv) to provide an amount for each of Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands of the United States (for Head Start agencies (including Early Head Start agencies) in the jurisdiction) that is equal to the amount provided for base grants for such jurisdiction under this subchapter for the prior fiscal year, by allotting to each agency described in this clause an amount equal to that agency's base grant for the prior fiscal year;

(v) to provide an amount for the Republic of Palau (for Head Start agencies (including Early Head Start agencies) in the jurisdiction) for each of fiscal years 2008 and 2009, and (if legislation approving a new agreement regarding United States assistance for the Republic of Palau has not been enacted by September 30, 2009) for each of fiscal years 2010 through 2012, that is equal to the amount provided for base grants for such jurisdiction under this subchapter for the prior fiscal year, by allotting to each agency described in this clause an amount equal to that agency's base grant for the prior fiscal year; and

(vi) to provide an amount for a collaboration grant under section 642B(a) for each State, for the Indian Head Start programs, and for the migrant and seasonal Head Start programs, in the same amount as the corresponding collaboration grant provided under this subchapter for fiscal year 2007.

(C)(i) The Secretary shall reserve for each fiscal year an

amount that is not less than 2.5 percent and not more than 3 percent of the sums appropriated pursuant to section 639 for that fiscal year, to fund training and technical assistance activities, from which reserved amount—

(I) the Secretary shall set aside a portion, but not less than 20 percent, to be used to fund training and technical assistance activities for Early Head Start programs, in accordance with section 645A(g)(2); and

(II) the Secretary shall set aside a portion, equal to the rest of the reserved amount, to fund training and technical assistance activities for other Head Start programs, in accordance with section 648, of which portion—

(aa) not less than 50 percent shall be made available to Head Start agencies to use directly, which may include at their discretion the establishment of local or regional agreements with community experts, institutions of higher education, or private consultants, to make program improvements identified by such agencies, by carrying out the training and technical assistance activities described in section 648(d);

(bb) not less than 25 percent shall be available to the Secretary to support a State-based training and technical assistance system, or a national system, described in section 648(e) for supporting program quality; and

(cc) the remainder of the portion set aside under this subclause shall be available to the Secretary to assist Head Start agencies in meeting and exceeding the standards described in section 641A(a)(1) by carrying out activities described in subsections (a), (b), (c), (f), and (g)

of section 648, including helping Head Start programs address weaknesses identified by monitoring activities conducted by the Secretary under section 641A(c), except that not less than \$3,000,000 of the remainder shall be made available to carry out activities described in section 648(a)(3)(B)(ii)

(ii) In determining the portion set aside under clause (i)(I) and the amount reserved under this subparagraph, the Secretary shall consider the number of Early Head Start programs newly funded for that fiscal year.

(D) The Secretary shall reserve not more than \$20,000,000 to fund research, demonstration, and evaluation activities under section 649, of which not more than \$7,000,000 for each of fiscal years 2008 through 2012 shall be available to carry out impact studies under section 649(g).

(E) The Secretary shall reserve not more than \$42,000,000 for discretionary payments by the Secretary, including payments for all costs (other than compensation of Federal employees) for activities carried out under subsection (c) or (e) of section 641A.

(F) If the sums appropriated under section 639 are not sufficient to provide the amounts required to be reserved under subparagraphs (B) through (E), the amounts shall be reduced proportionately.

(G) Nothing in this section shall be construed to deny the Secretary the authority, consistent with sections 641, 641A, and 646 to terminate, suspend, or reduce funding to a Head Start agency

(3)(A) From any amount remaining for a fiscal year after the Secretary carries out paragraph (2) (referred to in this paragraph as the 'remaining amount'), the Secretary shall—

(i) subject to clause (ii)—

(I) provide a cost of living increase for each Head Start agency (including each Early Head Start agency) funded under this subchapter for that fiscal year, to maintain the level of services provided during the prior year; and

(II) subject to subparagraph (B), provide \$10,000,000 for Indian Head Start programs (including Early Head Start programs), and \$10,000,000 for migrant and seasonal Head Start programs, to increase enrollment in the programs involved;

(ii) subject to clause (iii), if the remaining amount is not sufficient to carry out clause (i)—

(I) for each of fiscal years 2008, 2009, and 2010—

(aa) subject to subparagraph (B), provide 5 percent of that amount for Indian Head Start programs (including Early Head Start programs), and 5 percent of that amount for migrant and seasonal Head Start programs, to increase enrollment in the programs involved; and

(bb) use 90 percent of that amount to provide, for each Head Start agency (including each Early Head Start agency) funded as described in clause (i)(I), the same percentage (but not less than 50 percent) of the cost of living increase described in clause (i); and

(II) for fiscal year 2011 and each subsequent fiscal year—

(aa) provide, for each Head Start agency (including each Early Head Start agency) funded as described in clause (i)(I), the cost of living increase described in clause (i); and

(bb) subject to subparagraph (B), with any portion of the remaining amount that is not used under item (aa), provide equal amounts for Indian Head Start programs (including Early Head Start programs), and for migrant and seasonal Head Start programs, to increase enrollment in the programs involved; and

(iii) if the remaining amount is not sufficient to carry out clause (ii) for the fiscal year involved, use that amount to provide, for each Head Start agency (including each Early Head Start agency) funded as described in clause (i)(I), the same percentage of the cost of living increase described in clause (i).

(B)(i) Notwithstanding any other provision of this paragraph,

the Indian Head Start programs shall not receive more than a total cumulative amount of \$50,000,000 for all fiscal years, and the migrant and seasonal Head Start programs shall not receive more than a total cumulative amount of \$50,000,000 for all fiscal years, under clause (i)(II), and subclauses (I)(aa) and (II)(bb) of clause (ii), of subparagraph (A) (referred to in this subsection as the ‘special expansion provisions’), to increase enrollment in the programs involved.

(ii)(I) Funds that are appropriated under section 639 for a fiscal year, and made available to Indian Head Start programs or migrant or seasonal Head Start programs under the special expansion provisions, shall remain available until the end of the following fiscal year.

(II) For purposes of subclause (I)—

(aa) if no portion is reallocated under clause (iii), those funds shall remain available to the programs involved; or

(bb) if a portion is reallocated under clause (iii), the portion shall remain available to the recipients of the portion.

(iii) Of the funds made available as described in clause (ii), the Secretary shall reallocate the portion that the Secretary determines is unobligated 18 months after the funds are made available. The Secretary shall add that portion to the balance described in paragraph (4), and reallocate the portion in accordance with paragraph (4), for the following fiscal year referred to in clause (ii).

(4)(A) Except as provided in subparagraph (B), from any amount remaining for a fiscal year after the Secretary carries out paragraphs (2) and (3) (referred to in this paragraph as the 'balance'), the Secretary shall—

- (i) reserve 40 percent to carry out subparagraph (C) and paragraph (5);
- (ii) reserve 45 percent to carry out subparagraph (D); and
- (iii) reserve 15 percent (which shall remain available through the end of fiscal year 2012) to provide funds for carrying out section 642B(b)(2).

(B)(i) Under the circumstances described in clause (ii), from the balance, the Secretary shall—

(I) reserve 45 percent to carry out subparagraph (C) and paragraph (5); and

(II) reserve 55 percent to carry out subparagraph (D).

(ii) The Secretary shall make the reservations described in clause (i) for a fiscal year if—

(I) the total cumulative amount reserved under subparagraph (A)(iii) for all preceding fiscal years equals \$100,000,000;

or

(II) in the 2-year period preceding such fiscal year, funds were reserved under subparagraph (A)(iii) in an amount that totals not less than \$15,000,000 and the Secretary received no approvable applications for such funds.

(iii) The total cumulative amount reserved under subparagraph (A)(iii) for all fiscal years may not be greater than \$100,000,000.

(C) The Secretary shall fund the quality improvement activities described in paragraph (5) using the amount reserved under subparagraph (A)(i) or subparagraph (B)(i)(I), as appropriate, of which—

(i) a portion that is less than 10 percent may be reserved by the Secretary to provide funding to Head Start agencies (including Early Head Start agencies) that demonstrate the greatest need for additional funding for such activities, as determined by the Secretary; and

(ii) a portion that is not less than 90 percent shall be reserved by the Secretary to allot, to each Head Start agency (including each Early Head Start agency), an amount that bears the same ratio to such portion as the number of enrolled children served by the agency involved bears to the number of enrolled children served by all the Head Start agencies (including Early Head Start agencies), except that the Secretary shall account for the additional costs of serving children in Early Head Start programs and may consider whether an agency is providing a full-day program or whether an agency is providing a full-year program.

(D) The Secretary shall fund expansion of Head Start programs

(including Early Head Start programs) using the amount reserved under subparagraph (A)(ii) or subparagraph (B)(i)(II), as appropriate, of which the Secretary shall—

(i) use 0.2 percent for Head Start programs funded under clause (iv) or (v) of paragraph (2)(B) (other than Early Head Start programs);

(ii) for any fiscal year after the last fiscal year for which Indian Head Start programs receive funds under the special expansion provisions, use 3 percent for Head Start programs funded under paragraph (2)(B)(ii) (other than Early Head Start programs), except that the Secretary may increase that percentage if the Secretary determines that the results of the study conducted under section 649(k) indicate that the percentage should be increased;

(iii) for any fiscal year after the last fiscal year for which migrant or seasonal Head Start programs receive funds under the special expansion provisions, use 4.5 percent for Head Start programs funded under paragraph (2)(B)(iii) (other than Early Head Start programs), except that the Secretary may increase that percentage if the Secretary determines that the results of the study conducted under section 649(l) indicate that the percentage should be increased; and

(iv) from the remainder of the reserved amount—

(I) use 50 percent for Head Start programs funded under paragraph (2)(B)(i) (other than Early Head Start programs), of which—

(aa) the covered percentage shall be allocated among the States serving less than 60 percent (as determined by the Secretary) of children who are 3 or 4 years of age from families whose income is below the poverty line, by allocating to each of those

States an amount that bears the same relationship to that covered percentage as the number of children who are less than 5 years of age from families whose income is below the poverty line (referred to in this subclause as ‘young low-income children’) in that State bears to the number of young low-income children in all those States; and

(bb) the remainder shall be allocated proportionately among the States on the basis of the number of young low-income children; and

(II) use 50 percent for Early Head Start programs.

(E) In this paragraph, the term ‘covered percentage’ means—

- (i) for fiscal year 2008, 30 percent;
- (ii) for fiscal year 2009, 40 percent;
- (iii) for fiscal year 2010, 50 percent;
- (iv) for fiscal year 2011, 55 percent; and
- (v) for fiscal year 2012, 55 percent.

(5)(A) Not less than 50 percent of the amount reserved under subparagraph (A)(i) or subparagraph (B)(i)(I), as appropriate, of paragraph (4) to carry out quality improvement activities under paragraph (4)(C) and this paragraph shall be used to improve the compensation (including benefits) of educational personnel, family service workers, and child counselors, as described in sections 644(a) and 653, in the manner determined by the Head Start agencies (including Early Head Start agencies) involved, to—

- (i) ensure that compensation is adequate to attract and retain qualified staff for the programs involved in order to enhance program quality;
- (ii) improve staff qualifications and assist with the implementation of career development programs for staff that support ongoing improvement of their skills and expertise; and
- (iii) provide education and professional development to enable teachers to be fully competent to meet the professional standards established under section 648A(a)(1), including—

(I) providing assistance to complete postsecondary course work;

(II) improving the qualifications and skills of educational personnel to become certified and licensed as bilingual education teachers, or as teachers of English as a second language; and

(III) improving the qualifications and skills of educational personnel to teach and provide services to children with disabilities.

(B) Any remaining funds from the reserved amount described in subparagraph (A) shall be used to carry out any of the following activities:

(i) Supporting staff training, child counseling, and other services, necessary to address the challenges of children from immigrant, refugee, and asylee families, homeless children, children in foster care, limited English proficient children, children of migrant or seasonal farmworker families, children from families in crisis, children referred to Head Start programs (including Early Head Start programs) by child welfare agencies, and children who are exposed to chronic violence or substance abuse.

(ii) Ensuring that the physical environments of Head Start programs are conducive to providing effective program services to children and families, and are accessible to children with disabilities and other individuals with disabilities.

(iii) Employing additional qualified classroom staff to reduce the child-to-teacher ratio in the classroom and additional qualified family service workers to reduce the family-to-staff ratio for those workers.

(iv) Ensuring that Head Start programs have qualified staff that promote the language skills and literacy growth of children and that provide children with a variety of skills that have been identified, through scientifically based reading research, as predictive of later reading achievement.

(v) Increasing hours of program operation, including—

(I) conversion of part-day programs to full-working day programs; and

(II) increasing the number of weeks of operation in a calendar year.

(vi) Improving communitywide strategic planning and needs assessments for Head Start programs and collaboration efforts for such programs, including outreach to children described in clause (i).

(vii) Transporting children in Head Start programs safely, except that not more than 10 percent of funds made available to carry out this paragraph may be used for such purposes.

(viii) Improving the compensation and benefits of staff of Head Start agencies, in order to improve the quality of Head Start programs.

(6) No sums appropriated under this subchapter may be combined with funds appropriated under any provision other than this subchapter if the purpose of combining funds is to make a single discretionary grant or a single discretionary payment, unless such sums appropriated under this subchapter are separately identified in such grant or payment and are used for the purposes of this subchapter.

(7) In this subsection:

(A) The term ‘base grant’, used with respect to a fiscal year, means the amount of permanent ongoing funding (other than funding described in sections 645A(g)(2)(A)(i) and paragraph (2)(C)(i)(II)(aa)) provided to a Head Start agency (including an Early Head Start agency) under this subchapter for that fiscal year.

(B) The term ‘cost-of-living increase’, used with respect to an agency for a fiscal year, means an increase in the funding for that agency, based on the percentage change in the Consumer Price Index for All Urban Consumers (issued by the Bureau of Labor Statistics) for the prior fiscal year, calculated on the amount of the base grant for that agency for the prior fiscal year.

(C) For the purposes of this subsection, the term ‘State’ does not include Guam, American Samoa, the Virgin Islands of the United States, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

(b) Financial assistance extended under this subchapter for a Head Start program shall not exceed 80 percent of the approved costs of the assisted program or activities, except that the Secretary may approve assistance in excess of such percentage if the Secretary determines that such action is required in furtherance of the purposes of this subchapter. For the purpose of making such determination, the Secretary shall take into consideration with respect to the Head Start program involved--

(1) the lack of resources available in the community that may prevent the Head Start agency from providing all or a portion of the non-Federal contribution that may be required under this subsection;

(2) the impact of the cost the Head Start agency may incur in initial years it carries out such program;

(3) the impact of an unanticipated increase in the cost the Head Start agency may incur to carry out such program;

(4) whether the Head Start agency is located in a community adversely affected by a major disaster; and

(5) the impact on the community that would result if the Head Start agency ceased to carry out such program.

Non-Federal contributions may be in cash or in kind, fairly evaluated, including plant, equipment, or services. The Secretary shall not require non-Federal contributions in excess of 20 percent of the approved costs of programs or activities assisted under this subchapter.

(c) No programs shall be approved for assistance under this subchapter unless the Secretary is satisfied that the services to be provided under such program will be in addition to, and not in substitution for, comparable services previously provided without Federal assistance. The requirement imposed by the preceding sentence shall be subject to such regulations as the Secretary may prescribe.

(d)(1) The Secretary shall establish policies and procedures to assure that, for fiscal year 2009 and thereafter, not less than 10 percent of the total number of children actually enrolled by each Head Start agency and each delegate agency will be children with disabilities who are determined to be eligible for special education and related services, or early intervention services, as appropriate, as determined under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.), by the State or local agency providing services under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.).

(2) Such policies and procedures shall ensure the provision of early intervening services, such as educational and behavioral services and supports, to meet the needs of children with disabilities, prior to an eligibility determination under the Individuals with Disabilities Education Act.

(3) Such policies and procedures shall require Head Start agencies to provide timely referral to and collaborate with the State or local agency providing services under section 619 or part C of the Individuals with Disabilities Education Act to ensure the provision of special education and related services and early intervention services, and the coordination of programmatic efforts, to meet the special needs of such children.

(4) The Secretary shall establish policies and procedures to provide Head Start agencies with waivers of the requirements of paragraph (1) for not more than 3 years. Such policies and procedures shall require Head Start agencies, in order to receive such waivers, to provide evidence demonstrating that the Head Start agencies are making reasonable efforts on an annual basis to comply with the requirements of that paragraph.

(5) Nothing in this subsection shall be construed to limit or create a right to a free appropriate public education under the Individuals with Disabilities Education Act.

(e) The Secretary shall adopt appropriate administrative measures to assure that the benefits of this subchapter will be distributed equitably between residents of rural and urban areas.

(f)(1) Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall establish procedures to enable Head Start agencies to develop locally designed or specialized service delivery models to address local community needs, including models that leverage the capacity and capabilities of the delivery system of early childhood education and development services or programs.

(2) In establishing the procedures the Secretary shall establish procedures to provide for—

(A) the conversion of part-day programs to full-working day programs or part-day slots to full-working-day slots; and

(B) serving additional infants and toddlers pursuant to section 645(a)(5).

(g)(1) For the purpose of expanding Head Start programs, the Secretary shall take into consideration--

(A) the quality of the applicant's programs (including Head Start and other child care or child development programs) in existence on the date of the allocation, including, in the case of Head Start programs in existence on the date of the allocation, the extent to which such programs meet or exceed **standards described in section 641A(a)(1)** and other requirements under this subchapter, and the performance history of the applicant in providing services under other Federal programs (other than the program carried out under this subchapter);

(B) the applicant's capacity to expand services (including, in the case of Head Start programs in existence on the date of the allocation, whether the applicant accomplished any prior expansions in an effective and timely manner);

(C) the extent to which the applicant has undertaken a community wide strategic planning and needs assessment involving other **entities, including community organizations, and Federal, State, and local public agencies (including the local educational agency liaison designated under section 722(g)(1)(J)(ii) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11432(g)(1)(J)(ii))**, that provide services to children and families, such as—

(i) family support services;

(ii) child abuse prevention services;

(iii) protective services;

(iv) foster care;

(v) services for families in whose homes English is not the language customarily spoken;

(vi) services for children with disabilities; and

(vii) services for homeless children

(D) the extent to which the **family needs assessment and communitywide strategic planning and needs assessment** of the applicant reflect a need to provide full-working-day or full-calendar-year services and the extent to which, and manner in which, the applicant demonstrates the ability to collaborate and participate with **the State and local** community providers of child care or preschool services to provide full-working-day full calendar year services.

(E) the number of eligible children, **as described in clause (i) or (ii) of section 645(a)(1)(B)**, in each community who are not participating in a Head Start program or any other **publicly funded early childhood education and development program**;

(F) the concentration of low-income families in each community;

(G) the extent to which the applicant proposes to foster partnerships with other service providers in a manner that will **leverage the existing delivery systems of such services and enhance the resource capacity of the applicant**; and

(H) the extent to which the applicant, in providing services, **successfully coordinated activities with the local educational agency serving the community involved (including the local educational agency liaison designated under section 722(g)(1)(J)(ii) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11432(g)(1)(J)(ii))), and with schools in which children participating in such applicant's program will enroll following such program, with respect to such services and the education services provided by such local educational agency.**

(2) Notwithstanding paragraph (1), in using funds made available for expansion under subsection (a)(4)(D), the Secretary shall first allocate the funds to qualified applicants proposing to use such funds to serve children from families with incomes below the poverty line. Agencies that receive such funds are subject to the eligibility and enrollment requirements under section 645(a)(1).

(3)(A) In the event that the amount appropriated to carry out the program under this subchapter for a fiscal year does not exceed the amount appropriated for the prior fiscal year, or is not sufficient to maintain services comparable to the services provided under this subchapter during the prior fiscal year, a Head Start agency may negotiate with the Secretary a reduced funded enrollment level without a reduction in the amount of the grant received by the agency under this subchapter,

if such agency can reasonably demonstrate that such reduced funded enrollment level is necessary to maintain the quality of services.

(B) In accordance with this paragraph, the Secretary shall set up a process for Head Start agencies to negotiate the reduced funded enrollment levels referred to in subparagraph (A) for the fiscal year involved.

(C) In the event described in subparagraph (A), the Secretary shall be required to notify Head Start agencies of their ability to negotiate the reduced funded enrollment levels if such an agency can reasonably demonstrate that such reduced funded enrollment level is necessary to maintain the quality of services.

(h) Financial assistance provided under this subchapter may be used by each Head Start program to provide full-working-day Head Start services to any eligible child throughout the full-calendar-year.

(i) The Secretary shall issue regulations establishing requirements for the safety features, and the safe operation, of vehicles used by Head Start agencies to transport children participating in Head Start programs. **The regulations shall also establish requirements to ensure the appropriate supervision of, and appropriate background checks for, individuals with whom the agencies contract to transport those children.**

(j) Any agency that receives financial assistance under this subchapter to improve the compensation of staff who provide services under this subchapter shall use the financial assistance to improve the compensation of such staff, regardless of whether the agency has the ability to improve the compensation of staff employed by the agency who do not provide Head Start services.

(k)(1) The Secretary shall allow center-based Head Start programs the flexibility to satisfy the total number of hours of service required by the regulations in effect on the date of enactment of the Human Services Amendments of 1994, to be provided to children in Head Start programs so long as such agencies do not--

(A) provide less than 3 hours of service per day;

(B) reduce the number of days of service per week; or

(C) reduce the number of days of service per year.

(2) The provisions of this subsection shall not be construed to restrict the authority of the Secretary to fund alternative program variations authorized under section 1306.35 of title 45 of the Code of Federal Regulations in effect on the date of enactment of the Human Services Amendments of 1994.

(l)(1) With funds made available under this subchapter to expand migrant and seasonal Head Start programs, the Secretary shall give priority to migrant and seasonal

Head Start programs that serve eligible **children of migrant or seasonal farmworker families** whose work requires them to relocate most frequently.

(2) In determining the need and demand for migrant and seasonal Head Start programs (and services provided through such programs), the Secretary shall consult with appropriate entities, including providers of services for migrant and seasonal Head Start programs. The Secretary shall, after taking into consideration the need and demand for migrant and seasonal Head Start programs (and such services), ensure that there is an adequate level of such services for eligible **children of migrant farmworker families** before approving an increase in the allocation of funds provided **under this subchapter** for unserved eligible **children of seasonal farmworker families**. In serving the eligible **children of seasonal farmworker families**, the Secretary shall ensure that services provided by migrant and seasonal Head Start programs do not duplicate or overlap with other Head Start services available to eligible **children of such farmworker families**.

(3) In carrying out this subchapter, the Secretary shall continue the administrative arrangement **at the national level for meeting the needs of Indian children and children of migrant and seasonal farmworker families** and shall ensure—

(A) the provision of training and technical assistance by staff with knowledge of and experience in working with such populations; and

(B) the appointment of a national Indian Head Start collaboration director and a national migrant and seasonal Head Start collaboration director.

(4)(A) For the purposes of paragraph (3), the Secretary shall conduct an annual consultation in each affected Head Start region, with tribal governments operating Head Start including Early Head Start) programs.

(B) The consultations shall be for the purpose of better meeting the needs of Indian, including Alaska Native, children and their families, in accordance with this subchapter, taking into consideration funding allocations, distribution formulas, and other issues affecting the delivery of Head Start services in their geographic locations.

(C) The Secretary shall publish a notification of the consultations in the Federal Register before conducting the consultations.

(D) The Secretary shall ensure that a detailed report of each consultation shall be prepared and made available, within 90 days after the consultation, to all tribal governments receiving funds under this subchapter.

(m) The Secretary shall issue rules to establish policies and procedures to remove barriers to the enrollment and participation of homeless children in Head Start programs. Such rules shall require Head Start agencies—

(1) to implement policies and procedures to ensure that homeless children are identified and prioritized for enrollment;

(2) to allow families of homeless children to apply to, enroll in, and attend Head Start programs while required documents, such as proof of residency, immunization and other medical records, birth certificates, and other documents, are obtained within a reasonable time frame; and

(3) to coordinate individual Head Start programs with efforts to implement subtitle B of title VII of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.)

(n) Nothing in this subchapter shall be construed to require a State to establish a publicly funded program of early childhood education and development, or to require any child to participate in such a publicly funded program, including a State-funded preschool program, or to participate in any initial screening before participating in a publicly funded program of early childhood education and development, except as provided under sections 612(a)(3) and 635(a)(5) of the Individuals with Disabilities Education Act (20 U.S.C. 1412(a)(3), 1435(a)(5)).

(o) All curricula funded under this subchapter shall be based on scientifically valid research, and be age and developmentally appropriate. The curricula shall reflect all areas of child development and learning and be aligned with the Head Start Child Outcomes Framework. Parents shall have the opportunity to examine any such curricula or instructional materials funded under this subchapter.

Sec. 641. DESIGNATION OF HEAD START AGENCIES

[42 U.S.C. 9836]

(a) AUTHORITY TO DESIGNATE.—

(1) IN GENERAL.—The Secretary is authorized to designate as a Head Start agency any local public or private nonprofit agency, including community-based and faith-based organizations, or for-profit agency, within a community, pursuant to the requirements of this section.

(2) INTERIM POLICY.—Notwithstanding paragraph (1), until such time as the Secretary develops and implements the system for designation renewal under this section, the Secretary is authorized to designate as a Head Start agency, any local public or private nonprofit agency, including community-based and faith-based organizations, or for-profit agency, within a community, in the manner and process utilized by the Secretary prior to the enactment of the Improving Head Start for School Readiness Act of 2007.

(b) APPLICATION FOR DESIGNATION RENEWAL.—To be considered for designation renewal, an entity shall submit an application to the Secretary, at such time and in such manner as the Secretary may require.

(c) SYSTEM FOR DESIGNATION RENEWAL.—

(1) IN GENERAL.—The Secretary shall develop a system for designation renewal that integrates the recommendations of the expert panel convened under paragraph (2) to determine if a Head Start agency is delivering a high-quality and comprehensive Head Start program that meets the educational, health, nutritional, and social needs of the children and families it serves, and meets program and financial management requirements and standards described in section 641A(a)(1), based on—

- (A) annual budget and fiscal management data;**
- (B) program reviews conducted under section 641A(c);**
- (C) annual audits required under section 647;**
- (D) classroom quality as measured under section 641A(c)(2)(F); and**
- (E) Program Information Reports.**

(2) EXPERT PANEL.—Not later than 3 months after the date

of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall convene an expert panel of 7 members to make recommendations to the Secretary on the development of a transparent, reliable, and valid system for designation renewal.

(3) COMPOSITION OF EXPERT PANEL.—The Secretary, in convening such panel, shall appoint the following:

(A)(i) One member, who has demonstrated competency, as evidenced by training, expertise, and experience, in early childhood program accreditation.

(ii) One member, who has demonstrated competency (as so evidenced) in research on early childhood development.

(iii) One member, who has demonstrated competency (as so evidenced) in governance and finance of nonprofit organizations.

(iv) One member, who has demonstrated competency (as so evidenced) in delivery of services to populations of children with special needs and their families.

(v) One member, who has demonstrated competency (as so evidenced) in assessment and evaluation of programs serving young children.

(B) An employee from the Office of Head Start.

(C) An executive director of a Head Start agency.

(4) **EXPERT PANEL REPORT.**—Within 9 months after being convened by the Secretary, the expert panel shall issue a report to the Secretary that provides recommendations on a proposed system for designation renewal that takes into account the criteria in subparagraphs (A) through (E) of paragraph (1) to evaluate whether a Head Start agency is fulfilling its mission to deliver a high-quality and comprehensive Head Start program, including adequately meeting its governance, legal, and financial management requirements.

(5) **PUBLIC COMMENT AND CONSIDERATION.**—Not later than 3 months after receiving the report described in paragraph (4), the Secretary shall publish a notice describing a proposed system for designation renewal in the Federal Register, including a proposal for the transition to such system, providing at least 90 days for public comment. The Secretary shall review and consider public comments prior to finalizing the system for designation renewal described in this subsection.

(6) **DESIGNATION RENEWAL SYSTEM.**—Not later than 12 months after publishing a notice describing the proposed system under paragraph (5), the Secretary shall implement the system for designation renewal and use that system to determine—

(A) whether a Head Start grantee is successfully delivering a high-quality and comprehensive Head Start program;

and

(B) whether the grantee has any unresolved deficiencies found during the last triennial review under section 641A(c).

(7) **IMPLEMENTATION OF THE DESIGNATION RENEWAL SYSTEM.**—

(A) **IN GENERAL.**—A grantee who is determined under such system—

(i) to be delivering a high-quality and comprehensive Head Start program shall be designated (consistent with section 643) as a Head Start agency for the period of 5 years described in section 638;

(ii) to not be delivering a high-quality and comprehensive Head Start program shall be subject to an open competition as described in subsection (d); and

(iii) in the case of an Indian Head Start agency, to not be delivering a high-quality and comprehensive Head Start program shall (notwithstanding clause (ii)) be subject to the requirements of subparagraph (B).

(B) TRIBAL GOVERNMENT CONSULTATION AND REEVALUATION.—

On making a determination described in subparagraph (A)(iii), the Secretary shall engage in government-to-government consultation with the appropriate tribal government or governments for the purpose of establishing a plan to improve the quality of Head Start programs operated by the Indian Head Start agency. Such plan shall be established and implemented within 6 months after the Secretary's determination. Not more than 6 months after the implementation of that plan, the Secretary shall reevaluate the performance of the Indian Head Start agency. If the Indian Head Start agency is still not delivering a high-quality and comprehensive Head Start program, the Secretary shall conduct an open competition as described in subsection (d), subject to the limitations described in subsection (e).

(8) TRANSPARENCY, RELIABILITY, AND VALIDITY.—The Secretary shall ensure the system for designation renewal is fair, consistent, and transparent and is applied in a manner that renews designations, in a timely manner, grantees as Head Start agencies for periods of 5 years if such grantees are delivering high-quality and comprehensive Head Start programs. The Secretary shall periodically evaluate whether the criteria of the system are being applied in a manner that is transparent, reliable, and valid.

(9) TRANSITION.—

(A) IN GENERAL.—Each Head Start agency shall be reviewed under the system for designation renewal described in paragraph (6), not later than 3 years after the implementation of such system.

(B) LIMITATION.—A Head Start agency shall not be subject to the requirements of the system for designation renewal prior to 18 months after the date of enactment of the Improving Head Start for School Readiness Act of 2007.

(C) SCHEDULE.—The Secretary shall establish and implement a schedule for reviewing each Head Start agency under the system for designation renewal described in paragraph (6), consistent with subparagraphs (A) and (B).

(10) REPORTS TO CONGRESS.—The Secretary shall—

(A) make available to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate the report described in paragraph (4);

(B) concurrently with publishing a notice in the Federal Register as described in paragraph (5), provide a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate that provides a detailed description of the proposed system described in paragraph (5), including a clear rationale for any differences between the proposed system and the recommendations of the expert panel, if any such differences exist; and

(C) prior to implementing the system for designation renewal, provide a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate—

(i) summarizing the public comment on the proposed system and the Secretary's response to such comment;

and

(ii) describing the final system for designation renewal and the plans for implementation of such system.

(d) DESIGNATION WHEN NO ENTITY IS RENEWED.—

(1) IN GENERAL.—If no entity in a community is determined to be successfully delivering a high-quality and comprehensive Head Start program, as specified in subsection (c), the Secretary shall, after conducting an open competition, designate for a 5-year period a Head Start agency from among qualified applicants in such community.

(2) CONSIDERATIONS FOR DESIGNATION.—In selecting from among qualified applicants for designation as a Head Start agency, the Secretary shall consider the effectiveness of each such applicant to provide Head Start services, based on—

(A) any past performance of such applicant in providing services comparable to Head Start services, including how effectively such applicant provided such comparable services;

(B) the plan of such applicant to provide comprehensive health, educational, nutritional, social, and other services needed to aid participating children in attaining their full potential, and to prepare children to succeed in school;

(C) the plan of such applicant to attract and retain qualified staff capable of delivering, including implementing, a high-quality and comprehensive program, including the ability to carry out a research based curriculum aligned with the Head Start Child Outcomes Framework and, as appropriate, State early learning standards;

(D) the ability of such applicant to maintain child-to-teacher ratios and family service worker caseloads that reflect best practices and are tied to high-quality service delivery;

(E) the capacity of such applicant to serve eligible children with—

(i) curricula that are based on scientifically valid research, that are developmentally appropriate, and that promote the school readiness of children participating in the program involved; and

(ii) teaching practices that are based, as appropriate, on scientifically valid research, that are developmentally appropriate, and that promote the school readiness of children participating in the program involved;

(F) the plan of such applicant to meet standards described in section 641A(a)(1), with particular attention to the standards described in subparagraphs (A) and (B) of such section;

(G) the proposed budget of the applicant and plan of such applicant to maintain strong fiscal controls and cost effective fiscal management;

(H) the plan of such applicant to coordinate and collaborate with other public or private entities providing early childhood education and development programs and services for young children in the community involved, including—

(i) programs implementing grant agreements under the Early Reading First and Even Start programs under subparts 2 and 3 of part B of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6371 et seq., 6381 et seq.);

(ii) other preschool programs under title I of that Act (20 U.S.C. 6301 et seq.);

(iii) programs under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.);

(iv) State pre kindergarten programs;

(v) child care programs;

(vi) the educational programs that the children in the Head Start program involved will enter at the age of compulsory school attendance; and

(vii) local entities, such as a public or school library, for—

(I) conducting reading readiness programs;

(II) developing innovative programs to excite children about the world of books, including providing fresh books in the Head Start classroom;

(III) assisting in literacy training for Head Start teachers; or

(IV) supporting parents and other caregivers in literacy efforts;

(I) the plan of such applicant to coordinate the Head Start program that the applicant proposes to carry out, with public and private entities that are willing to commit resources to assist the Head Start program in meeting its program needs;

(J) the plan of such applicant—

(i) to facilitate the involvement of parents (including grandparents and kinship caregivers, as appropriate) of children participating in the proposed Head Start program, in activities (at home and, if practicable, at the location of the Head Start program) designed to help such parents become full partners in the education of their children;

(ii) to afford such parents the opportunity to participate in the development and overall conduct of the program at the local level, including transportation assistance, as appropriate;

(iii) to offer (directly or through referral to local entities, such as entities carrying out Even Start programs under subpart 3 of part B of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6381 et seq.), public and school libraries, and entities carrying out family support programs) to such parents—

(I) family literacy services; and

(II) parenting skills training;

(iv) to offer to parents of participating children substance abuse counseling (either directly or through referral to local

entities), if needed, including information on the effect of drug exposure on infants and fetal alcohol syndrome;

(v) at the option of such applicant, to offer (directly or through referral to local entities) to such parents—

(I) training in basic child development (including cognitive, social, and emotional development);

(II) assistance in developing literacy and communication skills;

(III) opportunities to share experiences with other parents (including parent-mentor relationships);

(IV) regular in-home visitation;

(V) health services, including information on maternal depression; or

(VI) any other activity designed to help such parents become full partners in the education of their children;

(vi) to provide, with respect to each participating family, a family needs assessment that includes consultation with such parents (including foster parents, grandparents, and kinship caregivers, where applicable), in a manner and language that such parents can understand, to the extent practicable, about the benefits of parent involvement and about the activities described in this subparagraph in which such parents may choose to become involved (taking into consideration their specific family needs, work schedules, and other responsibilities); and

(vii) to extend outreach to fathers (including father figures), in appropriate cases, in order to strengthen the role of those fathers in families, in the education of young children, and in the Head Start program, by working directly with the fathers through activities such as—

(I) in appropriate cases, including the fathers in home visits and providing opportunities for direct father-child interactions; and

(II) targeting increased male participation in the conduct of the program;

(K) the plan of such applicant to meet the needs of limited English proficient children and their families, including procedures to identify such children, plans to provide trained personnel, and plans to provide services to assist the

children in making progress toward the acquisition of the English language, while making meaningful progress in attaining the knowledge, skills, abilities, and development described in section 641A(a)(1)(B);

(L) the plan of such applicant to meet the diverse needs of the population served;

(M) the plan of such applicant who chooses to assist younger siblings of children who will participate in the Head Start program to obtain health services from other sources;

(N) the plan of such applicant to meet the needs of children with disabilities, including procedures to identify such children, procedures for referral of such children for evaluation to State or local agencies providing services under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.), and plans for collaboration with those State or local agencies;

(O) the plan of such applicant to meet the needs of homeless children, including transportation needs, and the needs of children in foster care; and

(P) other factors related to the requirements of this subchapter.

(3) **PRIORITY.**—In selecting from among qualified applicants for designation as a Head Start agency, the Secretary shall give priority to applicants that have demonstrated capacity in providing effective, comprehensive, and well-coordinated early childhood education and development services and programs to children and their families.

(e) PROHIBITION AGAINST NON-INDIAN HEAD START AGENCY RECEIVING A GRANT FOR AN INDIAN HEAD START PROGRAM.—

(1) **IN GENERAL.**—Notwithstanding any other provision of law, except as provided in paragraph (2), under no condition may a non-Indian Head Start agency receive a grant to carry out an Indian Head Start program.

(2) **EXCEPTION.**—In a community in which there is no Indian Head Start agency available for designation to carry out an Indian Head Start program, a non-Indian Head Start agency may receive a grant to carry out an Indian Head Start program but only until such time as an Indian Head Start agency in such community becomes available and is designated pursuant to this section.

(f) **INTERIM PROVIDER.**—If no agency in a community is designated under subsection (d), and there is no qualified applicant in the community, the Secretary shall designate a qualified agency to carry out the Head Start program in the community on an interim basis until a qualified applicant from the community is designated under subsection (d).

(g) PARENT AND COMMUNITY PARTICIPATION.—The Secretary

shall require that the practice of significantly involving parents and community residents in the area affected by the program involved, in the selection of Head Start agencies, be continued.

(h) COMMUNITY.—For purposes of this subchapter, a community may be a city, county, or multicity or multicounty unit within a State, an Indian reservation (including Indians in any off-reservation area designated by an appropriate tribal government in consultation with the Secretary), or a neighborhood or other area (irrespective of boundaries or political subdivisions) that provides a suitable organizational base and possesses the commonality of interest needed to operate a Head Start program.

Sec. 641A. STANDARDS; MONITORING OF HEAD START AGENCIES AND PROGRAMS.

[42 USC 9836A]

(a) Standards-

(1) CONTENT OF STANDARDS- The Secretary shall **modify, as necessary, program performance standards by regulation applicable to Head Start agencies and programs under this subchapter, including--**

(A) performance standards with respect to services required to be provided, including health, parental involvement, nutritional, and social services, transition activities described in section **642A**, and other services;

(B) scientifically based and developmentally appropriate education performance standards related to school readiness that are based on the Head Start Child Outcomes Framework to ensure that the children participating in the program, at a minimum, develop and demonstrate--

(i) language knowledge and skills, including oral language and listening comprehension;

(ii) literacy knowledge and skills, including phonological awareness, print awareness and skills, and alphabetic knowledge;

(iii) mathematics knowledge and skills;

(iv) science knowledge and skills;

(v) cognitive abilities related to academic achievement and child development;

(vi) approaches to learning related to child development and early learning;

(vii) social and emotional development related to early learning, school success, and social problem solving;

(viii) abilities in creative arts;

(ix) physical development; and

(x) in the case of limited English proficient children, progress toward acquisition of the English language while making meaningful progress in attaining the knowledge, skills, abilities, and development described in clauses (i) through (ix), including progress made through the use of culturally and linguistically appropriate instructional services;

(C) administrative and financial management standards;

(D) standards relating to the condition and location of facilities **(including indoor air quality assessment standards, where appropriate) for such agencies, and programs, including regulations that require that the facilities used by Head Start agencies (including Early Head Start agencies and any delegate agencies) for regularly scheduled center-based and combination program option classroom activities--**

(i) shall meet or exceed State and local requirements concerning licensing for such facilities; and

(ii) shall be accessible by State and local authorities for purposes of monitoring and ensuring compliance, unless State or local laws prohibit such access; and

(E) such other standards as the Secretary finds to be appropriate.

(2) CONSIDERATIONS REGARDING STANDARDS- In developing any modifications to standards required under paragraph (1), the Secretary shall--

(A) consult with experts in the fields of child development, early childhood education, child health care, family services (including linguistically and culturally appropriate services to non-English speaking children and their families), administration, and financial management, and with persons with experience in the operation of Head Start programs;

(B) take into consideration--

(i) past experience with use of the standards in effect **under this subchapter on the date of enactment of the Improving Head Start for School Readiness Act of 2007**;

(ii) changes over the period since **October 27, 1998**, in the circumstances and problems typically facing children and families served by Head Start agencies;

(iii) **recommendations from the study on Developmental Outcomes and Assessments for Young Children by the National Academy of Sciences, consistent with section 649(j)**;

(iv) **developments concerning research-based practices with respect to early childhood education and development, children with disabilities, homeless children, children in foster care, and family services, and best practices with respect to program administration and financial management**;

(v) projected needs of an expanding Head Start program;

(vi) **guidelines and standards that promote child health services and physical development, including participation in outdoor activity that supports children's motor development and overall health and nutrition**;

(vii) changes in the characteristics of the population of children who are eligible to participate in Head Start programs, **including country of origin, language background, and family structure of such children, and changes in the population and number of such children who are in foster care or are homeless children**;

(viii) **mechanisms to ensure that children participating in Head Start programs make a successful transition to the schools that the children will be attending**;

(ix) **the need for Head Start agencies to maintain regular communications with parents, including conducting periodic meetings to discuss the progress of individual children in Head Start programs; and**

(x) **the unique challenges faced by individual programs, including those programs that are seasonal or short term and those programs that serve rural populations**;

(C)(i) **review and revise as necessary the standards in effect under this subsection; and**

(ii) ensure that any such revisions in the standards will not result in the elimination of or any reduction in quality, scope, or types of health, educational, parental involvement, nutritional, social, or other services required to be provided under such standards as in effect on the date of enactment of the Improving Head Start for School Readiness Act of 2007; and

(D) consult with Indian tribes, including Alaska Natives, experts in Indian, including Alaska Native, early childhood education and development, linguists, and the National Indian Head Start Directors Association on the review and promulgation of standards under paragraph (1) (including standards for language acquisition and school readiness).

(3) STANDARDS RELATING TO OBLIGATIONS TO DELEGATE AGENCIES- In developing any modifications to standards under paragraph (1), the Secretary shall describe the obligations of a Head Start agency to a delegate agency to which the Head Start agency has delegated responsibility for providing services under this subchapter.

(b) Measures-

(1) IN GENERAL- The Secretary, in consultation with representatives of Head Start agencies and with experts in the fields of early childhood education and development, family services, and program management, shall use the study on **Developmental Outcomes and Assessments for Young Children** by the National Academy of Sciences and other relevant research to inform, revise, and provide guidance to Head Start agencies for utilizing, scientifically based measures that support, as appropriate--

(A) classroom instructional practices;

(B) identification of children with special needs;

(C) program evaluation; and

(D) administrative and financial management practices.

(2) CHARACTERISTICS OF MEASURES- The measures under this subsection shall--

(A) be developmentally, linguistically, and culturally appropriate for the population served;

(B) be reviewed periodically, based on advances in the science of early childhood development;

(C) be consistent with relevant, nationally recognized professional and technical standards related to the assessment of young children;

(D) be valid and reliable in the language in which they are administered;

(E) be administered by staff with appropriate training for such administration;

(F) provide for appropriate accommodations for children with disabilities and children who are limited English proficient;

(G) be high-quality research-based measures that have been demonstrated to assist with the purposes for which they were devised; and

(H) be adaptable, as appropriate, for use in the self-assessment of Head Start agencies, including in the evaluation of administrative and financial management practices.

(3) USE OF MEASURES; LIMITATIONS ON USE-

(A) USE- The measures shall be designed, as appropriate, for the purpose of--

(i) helping to develop the skills, knowledge, abilities, and development described in subsection (a)(1)(B) of children participating in Head Start programs, with an emphasis on measuring skills that scientifically valid research has demonstrated are related to children's school readiness and later success in school;

(ii) improving classroom practices, including reviewing children's strengths and weaknesses and individualizing instruction to better meet the needs of the children involved;

(iii) identifying the special needs of children; and

(iv) improving overall program performance in order to help programs identify problem areas that may require additional training and technical assistance resources.

(B) LIMITATIONS- Such measures shall not be used to exclude children from Head Start programs.

(4) CONFIDENTIALITY-

(A) IN GENERAL- The Secretary, through regulation, shall ensure the confidentiality of any personally identifiable data, information, and records collected or maintained under this subchapter by the Secretary and any Head Start agency. Such regulations shall provide the policies, protections, and rights equivalent to those provided to a parent, student, or educational agency or institution under section 444 of the General Education Provisions Act (20 U.S.C. 1232g).

(B) PROHIBITION ON NATIONWIDE DATABASE- Nothing in this subsection shall be construed to authorize the development of a nationwide database of personally identifiable data, information, or records on children resulting from the use of measures under this subsection.

(5) SPECIAL RULE-

(A) PROHIBITION- The use of assessment items and data on any assessment authorized under this subchapter by any agent of the Federal Government is prohibited for the purposes of--

(i) ranking, comparing, or otherwise evaluating individual children for purposes other than research, training, or technical assistance; and

(ii) providing rewards or sanctions for individual children or teachers.

(B) RESULTS- The Secretary shall not use the results of a single assessment as the sole method for assessing program effectiveness or making agency funding determinations at the national, regional, or local level under this subchapter.

(c) Monitoring of Local Agencies and Programs-

(1) IN GENERAL- To determine whether Head Start agencies meet standards described in subsection (a)(1) established under this subchapter with respect to program, administrative, financial management, and other requirements, and in order to help the programs identify areas for improvement and areas of strength as part of their ongoing self-assessment process, the Secretary shall conduct the following reviews of Head Start agencies, including the Head Start programs operated by such agencies:

(A) A full review, including the use of a risk-based assessment approach, of each such agency at least once during each 3-year period.

(B) A review of each newly designated Head Start agency immediately after the completion of the first year such agency carries out a Head Start program.

(C) Follow up reviews, including--

(i) return visits to Head Start agencies with 1 or more findings of deficiencies, not later than 6 months after the Secretary provides notification of such findings, or not later than 12 months after such notification if the Secretary determines that additional time is necessary for an agency to address such a deficiency prior to the review; and

(ii) a review of Head Start agencies with significant areas of noncompliance.

(D) Other reviews, including unannounced site inspections of Head Start centers, as appropriate.

(2) CONDUCT OF REVIEWS- The Secretary shall ensure that reviews described in subparagraphs (A) through (C) of paragraph (1)--

(A) are conducted by review teams that--

(i) include individuals who are knowledgeable about Head Start programs and, to the maximum extent practicable, individuals who are knowledgeable about--

(I) other early childhood education and development programs, personnel management, financial accountability, and systems development and monitoring; and

(II) the diverse (including linguistic and cultural) needs of eligible children (including children with disabilities, homeless children, children in foster care, and limited English proficient children) and their families;

(ii) include, to the maximum extent practicable, current or former employees of the Department of Health and Human Services who are knowledgeable about Head Start programs; and

(iii) shall receive periodic training to ensure quality and consistency across reviews;

(B) include as part of the reviews, a review and assessment of program strengths and areas in need of improvement;

(C) include as part of the reviews, a review and assessment of whether programs have adequately addressed population and community needs (including those of limited English proficient children and children of migrant or seasonal farmworker families);

(D) include as part of the reviews, an assessment of the extent to which the programs address the communitywide strategic planning and needs assessment described in section 640(g)(1)(C);

(E) include information on the innovative and effective efforts of the Head Start agencies to collaborate with the entities providing early childhood and development services or programs in the community and any barriers to such collaboration that the agencies encounter;

(F) include as part of the reviews, a valid and reliable research-based observational instrument, implemented by qualified individuals with demonstrated reliability, that assesses classroom quality, including assessing multiple dimensions of teacher-child interactions that are linked to positive child development and later achievement;

(G) are conducted in a manner that evaluates program performance, quality, and overall operations with consistency and objectivity, are based on a transparent and reliable system of review, and are conducted in a manner that includes periodic interrater reliability checks, to ensure quality and consistency, across and within regions, of the reviews and of noncompliance and deficiency determinations;

(H) in the case of reviews of Early Head Start agencies and programs, are conducted by a review team that includes individuals who are knowledgeable about the development of infants and toddlers;

(I) include as part of the reviews a protocol for fiscal management that shall be used to assess compliance with program requirements for--

(i) using Federal funds appropriately;

(ii) using Federal funds specifically to purchase property (consistent with section 644(f)) and to compensate personnel;

(iii) securing and using qualified financial officer support; and

(iv) reporting financial information and implementing appropriate internal controls to safeguard Federal funds;

(J) include as part of the reviews of the programs, a review and assessment of whether the programs are in conformity with the eligibility requirements under section 645(a)(1), including regulations promulgated under such section and whether the programs have met the requirements for the outreach and enrollment policies and

procedures, and selection criteria, in such section, for the participation of children in programs assisted under this subchapter;

(K) include as part of the reviews, a review and assessment of whether agencies have adequately addressed the needs of children with disabilities, including whether the agencies involved have met the 10 percent minimum enrollment requirement specified in section 640(d) and whether the agencies have made sufficient efforts to collaborate with State and local agencies providing services under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.); and

(L) include as part of the reviews, a review and assessment of child outcomes and performance as they relate to agency-determined school readiness goals described in subsection (g)(2), consistent with subsection (b)(5).

(3) STANDARDS RELATING TO OBLIGATIONS TO DELEGATE AGENCIES- In conducting a review described in paragraph (1)(A) of a Head Start agency, the Secretary shall determine whether the agency complies with the obligations described in subsection (a)(3). The Secretary shall consider such compliance in determining whether to renew financial assistance to the Head Start agency under this subchapter.

(4) USE OF REVIEW FINDINGS- The findings of a review described in paragraph (1) of a Head Start agency shall, at a minimum--

(A) be presented to the agency in a timely, transparent, and uniform manner that conveys information of program strengths and weaknesses and assists with program improvement; and

(B) be used by the agency to inform the development and implementation of its plan for training and technical assistance.

(d) Evaluations and Corrective Action for Delegate Agencies-

(1) PROCEDURES- Each Head Start agency shall establish, subject to paragraph (4), procedures relating to its delegate agencies, including--

(A) procedures for evaluating delegate agencies;

(B) procedures for defunding delegate agencies; and

(C) procedures for a delegate agency to appeal a defunding decision.

(2) EVALUATION- Each Head Start agency--

(A) shall evaluate its delegate agencies using the procedures established under this subsection; and

(B) shall inform the delegate agencies of the deficiencies identified through the evaluation that are required to be corrected.

(3) REMEDIES TO ENSURE CORRECTIVE ACTIONS- In the event that the Head Start agency identifies a deficiency for a delegate agency through the evaluation, the Head Start agency shall take action, which may include--

(A) initiating procedures to terminate the designation of the agency unless the agency corrects the deficiency;

(B) conducting monthly monitoring visits to such delegate agency until all deficiencies are corrected or the Head Start agency decides to defund such delegate agency; and

(C) releasing funds to such delegate agency--

(i) only as reimbursements except that, upon receiving a request from the delegate agency accompanied by assurances satisfactory to the Head Start agency that the funds will be appropriately safeguarded, the Head Start agency shall provide to the delegate agency a working capital advance in an amount sufficient to cover the estimated expenses involved during an agreed upon disbursing cycle; and

(ii) only if there is continuity of services.

(4) TERMINATION- The Head Start agency may not terminate a delegate agency's contract or reduce a delegate agency's service area without showing cause or demonstrating the cost-effectiveness of such a decision.

(5) RULE OF CONSTRUCTION- Nothing in this subsection shall be construed to limit the powers, duties, or functions of the Secretary with respect to Head Start agencies or delegate agencies that receive financial assistance under this subchapter.

(e) Corrective Action for Head Start Agencies-

(1) DETERMINATION- If the Secretary determines, on the basis of a review pursuant to subsection (c), that a Head Start agency designated pursuant to this subchapter fails to meet the standards described in **subsection (a)(1) or fails to address the communitywide strategic planning and needs assessment, the Secretary shall--**

(A) inform the agency of the deficiencies that shall be corrected and identify the assistance to be provided consistent with paragraph (3);

- (B) with respect to each identified deficiency, require the agency--
- (i) to correct the deficiency immediately, if the Secretary finds that the deficiency threatens the health or safety of staff or program participants or poses a threat to the integrity of Federal funds;
 - (ii) to correct the deficiency not later than 90 days after the identification of the deficiency if the Secretary finds, in the discretion of the Secretary, that such a 90-day period is reasonable, in light of the nature and magnitude of the deficiency; or
 - (iii) in the discretion of the Secretary (taking into consideration the seriousness of the deficiency and the time reasonably required to correct the deficiency), to comply with the requirements of paragraph (2) concerning a quality improvement plan; and
- (C) initiate proceedings to terminate the designation of the agency unless the agency corrects the deficiency.

(2) QUALITY IMPROVEMENT PLAN-

(A) **AGENCY AND PROGRAM RESPONSIBILITIES-** To retain a designation as a Head Start agency under this subchapter, **or in the case of a Head Start program to continue to receive funds from such agency,** a Head Start agency that is the subject of a determination described in paragraph (1), **or a Head Start program that is determined to have a deficiency under subsection (d)(2) (excluding an agency required to correct a deficiency immediately or during a 90-day period under clause (i) or (ii) of paragraph (1)(B)) shall--**

(i) develop in a timely manner, **a quality improvement plan that shall be subject to the approval of the Secretary, or in the case of a program, the sponsoring agency, and that shall specify--**

- (I) the deficiencies to be corrected;
- (II) the actions to be taken to correct such deficiencies; and
- (III) the timetable for accomplishment of the corrective actions specified; and

(ii) **correct** each deficiency identified, not later than the date for correction of such deficiency specified in such plan (which shall not be later than 1 year after the date the agency or Head Start program that is determined to have a deficiency received notice of the determination and of the specific deficiency to be corrected).

(B) **SECRETARIAL RESPONSIBILITY-** Not later than 30 days after receiving from a Head Start agency a proposed quality improvement plan pursuant to subparagraph (A), the Secretary shall either approve such proposed plan or specify the reasons why the proposed plan cannot be approved.

(C) **AGENCY RESPONSIBILITY-** Not later than 30 days after receiving from a Head Start program a proposed quality improvement plan pursuant to subparagraph (A), the Head Start agency involved shall either approve such proposed plan or specify the reasons why the proposed plan cannot be approved.

(3) **TRAINING AND TECHNICAL ASSISTANCE-** The Secretary shall provide training and technical assistance to Head Start agencies and programs with respect to the development or implementation of such quality improvement plans to the extent the Secretary finds such provision to be feasible and appropriate given available funding and other statutory responsibilities.

(f) **Summaries of Monitoring Outcomes-**

(1) **IN GENERAL-** Not later than 120 days after the end of each fiscal year, the Secretary shall publish a summary report on the findings of reviews conducted under subsection (c) and on the outcomes of quality improvement plans implemented under subsection (e), during such fiscal year.

(2) **REPORT AVAILABILITY-** Such report shall be made widely available to--

(A) **parents with children receiving assistance under this subchapter--**

(i) **in an understandable and uniform format; and**

(ii) **to the extent practicable, in a language that the parents understand; and**

(B) **the public through means such as--**

(i) **distribution through public agencies; and**

(ii) **posting such information on the Internet.**

(3) **REPORT INFORMATION-** Such report shall contain detailed data--

(A) **on compliance with specific standards and measures; and**

(B) **sufficient to allow Head Start agencies to use such data to improve the quality of their programs.**

(g) Self-Assessments-

(1) IN GENERAL- Not less frequently than once each program year, with the consultation and participation of policy councils and, as applicable, policy committees and, as appropriate, other community members, each Head Start agency, and each delegate agency, that receives financial assistance under this subchapter shall conduct a comprehensive self-assessment of its effectiveness and progress in meeting program goals and objectives and in implementing and complying with standards described in subsection (a)(1).

(2) GOALS, REPORTS, AND IMPROVEMENT PLANS-

(A) GOALS- An agency conducting a self-assessment shall establish agency-determined program goals for improving the school readiness of children participating in a program under this subchapter, including school readiness goals that are aligned with the Head Start Child Outcomes Framework, State early learning standards as appropriate, and requirements and expectations of the schools the children will be attending.

(B) IMPROVEMENT PLAN- The agency shall develop, and submit to the Secretary a report containing, an improvement plan approved by the governing body of the agency to strengthen any areas identified in the self-assessment as weaknesses or in need of improvement.

(3) ONGOING MONITORING- Each Head Start agency (including each Early Head Start agency) and each delegate agency shall establish and implement procedures for the ongoing monitoring of their respective programs, to ensure that the operations of the programs work toward meeting program goals and objectives and standards described in subsection (a)(1).

(h) Reduction of Grants and Redistribution of Funds in Cases of Underenrollment-

(1) DEFINITIONS- In this subsection:

(A) ACTUAL ENROLLMENT- The term "actual enrollment" means, with respect to the program of a Head Start agency, the actual number of children enrolled in such program and reported by the agency (as required in paragraph (2)) in a given month.

(B) BASE GRANT- The term base grant' has the meaning given the term in section 640(a)(7).

(C) FUNDED ENROLLMENT- The term funded enrollment' means, with respect to the program of a Head Start agency in a fiscal year, the number of children that the agency is funded to serve through a

grant for the program during such fiscal year, as indicated in the grant agreement.

(2) ENROLLMENT REPORTING REQUIREMENT- Each entity carrying out a Head Start program shall report on a monthly basis to the Secretary and the relevant Head Start agency—

(A) the actual enrollment in such program; and

(B) if such actual enrollment is less than the funded enrollment, any apparent reason for such enrollment shortfall.

(3) SECRETARIAL REVIEW AND PLAN- The Secretary shall—

(A) on a semiannual basis, determine which Head Start agencies are operating with an actual enrollment that is less than the funded enrollment based on not less than 4 consecutive months of data;

(B) for each such Head Start agency operating a program with an actual enrollment that is less than its funded enrollment, as determined under subparagraph (A), develop, in collaboration with such agency, a plan and timetable for reducing or eliminating underenrollment taking into consideration--

(i) the quality and extent of the outreach, recruitment, and communitywide strategic planning and needs assessment conducted by such agency;

(ii) changing demographics, mobility of populations, and the identification of new underserved low-income populations;

(iii) facilities-related issues that may impact enrollment;

(iv) the ability to provide full-working-day programs, where needed, through funds made available under this subchapter or through collaboration with entities carrying out other early childhood education and development programs, or programs with other funding sources (where available);

(v) the availability and use by families of other early childhood education and development options in the community served; and

(vi) agency management procedures that may impact enrollment; and

(C) provide timely and ongoing technical assistance to each agency described in subparagraph (B) for the purpose of assisting the Head Start agency to implement the plan described in such subparagraph.

(4) IMPLEMENTATION- Upon receipt of the technical assistance described in paragraph (3)(C), a Head Start agency shall immediately implement the plan described in paragraph (3)(B). The Secretary shall, where determined appropriate, continue to provide technical assistance to such agency.

(5) SECRETARIAL REVIEW AND ADJUSTMENT FOR CHRONIC UNDERENROLLMENT-

(A) IN GENERAL- If, after receiving technical assistance and developing and implementing the plan as described in paragraphs (3) and (4) for 12 months, a Head Start agency is operating a program with an actual enrollment that is less than 97 percent of its funded enrollment, the Secretary may--

(i) designate such agency as chronically underenrolled; and

(ii) recapture, withhold, or reduce the base grant for the program by a percentage equal to the percentage difference between funded enrollment and actual enrollment for the program for the most recent year for which the agency is determined to be underenrolled under paragraph (3)(A).

(B) WAIVER OR LIMITATION OF REDUCTIONS- The Secretary may, as appropriate, waive or reduce the percentage recapturing, withholding, or reduction otherwise required by subparagraph (A), if, after the implementation of the plan described in paragraph (3)(B), the Secretary finds that--

(i) the causes of the enrollment shortfall, or a portion of the shortfall, are related to the agency's serving significant numbers of highly mobile children, or are other significant causes as determined by the Secretary;

(ii) the shortfall can reasonably be expected to be temporary;
or

(iii) the number of slots allotted to the agency is small enough that underenrollment does not create a significant shortfall.

(6) REDISTRIBUTION OF FUNDS-

(A) IN GENERAL- Funds held by the Secretary as a result of recapturing, withholding, or reducing a base grant in a fiscal year shall be redistributed by the end of the following fiscal year as follows:

(i) INDIAN HEAD START PROGRAMS- If such funds are derived from an Indian Head Start program, then such funds shall be redistributed to increase enrollment by the end of the following fiscal year in 1 or more Indian Head Start programs.

(ii) MIGRANT AND SEASONAL HEAD START PROGRAMS- If such funds are derived from a migrant or seasonal Head Start program, then such funds shall be redistributed to increase enrollment by the end of the following fiscal year in 1 or more programs of the type from which such funds are derived.

(iii) EARLY HEAD START PROGRAMS- If such funds are derived from an Early Head Start program in a State, then such funds shall be redistributed to increase enrollment by the end of the following fiscal year in 1 or more Early Head Start programs in that State. If such funds are derived from an Indian Early Head Start program, then such funds shall be redistributed to increase enrollment by the end of the following fiscal year in 1 or more Indian Early Head Start programs.

(iv) OTHER HEAD START PROGRAMS- If such funds are derived from a Head Start program in a State (excluding programs described in clauses (i) through (iii)), then such funds shall be redistributed to increase enrollment by the end of the following fiscal year in 1 or more Head Start programs (excluding programs described in clauses (i) through (iii)) that are carried out in such State.

(B) ADJUSTMENT TO FUNDED ENROLLMENT- The Secretary shall adjust as necessary the requirements relating to funded enrollment indicated in the grant agreement of a Head Start agency receiving redistributed funds under this paragraph

Sec. 642. POWERS AND FUNCTIONS OF HEAD START AGENCIES.

[42 U.S.C. 9837]

(a) Authority- To be designated as a Head Start agency under this subchapter, an agency shall have authority under its charter or applicable law to receive and administer funds under this subchapter, funds and contributions from private or local public sources that may be used in support of a Head Start program, and funds under any Federal or State assistance program pursuant to which a public or private nonprofit or for-profit agency (as the case may be) organized in accordance with this subchapter, could act as grantee, contractor, or sponsor of projects appropriate for inclusion in a Head Start program. Such an agency shall also be empowered to transfer funds so received, and to delegate powers to other agencies, subject to the powers of its governing board and its overall program responsibilities. The power to transfer funds and delegate powers shall include the power

to make transfers and delegations covering component projects in all cases where this will contribute to efficiency and effectiveness or otherwise further program objectives.

(b) Family and Community Involvement; Family Services- To be so designated, a Head Start agency shall, at a minimum, do all the following to involve and serve families and communities:

(1) Provide for the regular and direct participation of parents and community residents in the implementation of the Head Start program, including decisions that influence the character of such program, consistent with paragraphs (2)(D) and (3)(C) of subsection (c).

(2) Seek the involvement of parents, community residents, and local business in the design and implementation of the program.

(3) Establish effective procedures--

(A) to facilitate and seek the involvement of parents of participating children in activities designed to help such parents become full partners in the education of their children; and

(B) to afford such parents the opportunity to participate in the development and overall conduct of the program at the local level, including transportation assistance as appropriate.

(4) Offer (directly or through referral to local entities, such as entities carrying out Even Start programs under subpart 3 of part B of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6381 et seq.), public and school libraries, and entities carrying out family support programs) to such parents--

(A) family literacy services; and

(B) parenting skills training.

(5) Offer to parents of participating children substance abuse counseling (either directly or through referral to local entities), if needed, including information on the effect of drug exposure on infants and fetal alcohol syndrome.

(6) At the option of such agency, offer (directly or through referral to local entities) to such parents--

(A) training in basic child development (including cognitive, social, and emotional development);

(B) assistance in developing literacy and communication skills;

(C) opportunities to share experiences with other parents (including parent-mentor relationships);

(D) health services, including information on maternal depression;

(E) regular in-home visitation; or

(F) any other activity designed to help such parents become full partners in the education of their children.

(7) Provide, with respect to each participating family, a family needs assessment that includes consultation with such parents **(including foster parents, grandparents, and kinship caregivers, where applicable), in a manner and language that such parents can understand (to the extent practicable), about the benefits of parent involvement and about the activities described in this subsection** in which such parents may choose to be involved (taking into consideration their specific family needs, work schedules, and other responsibilities).

(8) Consider providing services to assist younger siblings of children participating in its Head Start program to obtain health services from other sources.

(9) Perform community outreach to encourage individuals previously unaffiliated with Head Start programs to participate in its Head Start program as volunteers.

(10)(A) Inform custodial parents in single-parent families that participate in programs, activities, or services carried out or provided under this subchapter about the availability of child support services for purposes of establishing paternity and acquiring child support.

(B) Refer eligible parents to the child support offices of State and local governments.

(11) Provide to parents of limited English proficient children outreach and information, in an understandable and uniform format and, to the extent practicable, in a language that the parents can understand.

(12) Provide technical and other support needed to enable parents and community residents to secure, on their own behalf, available assistance from public and private sources.

(13) Promote the continued involvement of the parents (including foster parents, grandparents, and kinship caregivers, as appropriate) of children that participate in Head Start programs in the education of their children upon transition of their children to school, by working with the local educational agency--

(A) to provide training to the parents—

(i) to inform the parents about their rights and responsibilities concerning the education of their children; and

(ii) to enable the parents--

(I) to understand and work with schools in order to communicate with teachers and other school personnel;

(II) to support the schoolwork of their children; and

(III) to participate as appropriate in decisions relating to the education of their children; and

(B) to take other actions, as appropriate and feasible, to support the active involvement of the parents with schools, school personnel, and school-related organizations.

(14) Establish effective procedures for timely referral of children with disabilities to the State or local agency providing services under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.), and collaboration with that agency, consistent with section 640(d)(3).

(15) Establish effective procedures for providing necessary early intervening services to children with disabilities prior to an eligibility determination by the State or local agency responsible for providing services under section 619 or part C of such Act, consistent with section 640(d)(2).

(16) At the option of the Head Start agency, partner with an institution of higher education and a nonprofit organization to provide college students with the opportunity to serve as mentors or reading partners for Head Start participants.

(c) Program Governance- Upon receiving designation as a Head Start agency, the agency shall establish and maintain a formal structure for program governance, for the oversight of quality services for Head Start children and families and for making decisions related to program design and implementation. Such structure shall include the following:

(1) GOVERNING BODY-

(A) IN GENERAL- The governing body shall have legal and fiscal responsibility for the Head Start agency.

(B) COMPOSITION- The governing body shall be composed as follows:

(i) Not less than 1 member shall have a background and expertise in fiscal management or accounting.

(ii) Not less than 1 member shall have a background and expertise in early childhood education and development.

(iii) Not less than 1 member shall be a licensed attorney familiar with issues that come before the governing body.

(iv) Additional members shall--

(I) reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs; and

(II) are selected for their expertise in education, business administration, or community affairs.

(v) Exceptions shall be made to the requirements of clauses (i) through (iv) for members of a governing body when those members oversee a public entity and are selected to their positions with the public entity by public election or political appointment.

(vi) If a person described in clause (i), (ii), or (iii) is not available to serve as a member of the governing body, the governing body shall use a consultant, or an other individual with relevant expertise, with the qualifications described in that clause, who shall work directly with the governing body.

(C) CONFLICT OF INTEREST- Members of the governing body shall--

(i) not have a financial conflict of interest with the Head Start agency (including any delegate agency);

(ii) not receive compensation for serving on the governing body or for providing services to the Head Start agency;

(iii) not be employed, nor shall members of their immediate family be employed, by the Head Start agency (including any delegate agency); and

(iv) operate as an entity independent of staff employed by the Head Start agency.

(D) EXCEPTION- If an individual holds a position as a result of public election or political appointment, and such position carries with it a concurrent appointment to serve as a member of a Head Start agency governing body, and such individual has any conflict of interest described in clause (ii) or (iii) of subparagraph (C)--

(i) such individual shall not be prohibited from serving on such body and the Head Start agency shall report such conflict to the Secretary; and

(ii) if the position held as a result of public election or political appointment provides compensation, such individual shall not be prohibited from receiving such compensation.

(E) RESPONSIBILITIES- The governing body shall—

(i) have legal and fiscal responsibility for administering and overseeing programs under this subchapter, including the safeguarding of Federal funds;

(ii) adopt practices that assure active, independent, and informed governance of the Head Start agency, including practices consistent with subsection (d)(1), and fully participate in the development, planning, and evaluation of the Head Start programs involved;

(iii) be responsible for ensuring compliance with Federal laws (including regulations) and applicable State, tribal, and local laws (including regulations); and

(iv) be responsible for other activities, including--

(I) selecting delegate agencies and the service areas for such agencies;

(II) establishing procedures and criteria for recruitment, selection, and enrollment of children;

(III) reviewing all applications for funding and amendments to applications for funding for programs under this subchapter;

(IV) establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2);

(V) reviewing and approving all major policies of the agency, including--

(aa) the annual self-assessment and financial audit;

(bb) such agency's progress in carrying out the programmatic and fiscal provisions in such

agency's grant application, including implementation of corrective actions; and

(cc) personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;

(VI) developing procedures for how members of the policy council are selected, consistent with paragraph (2)(B);

(VII) approving financial management, accounting, and reporting policies, and compliance with laws and regulations related to financial statements, including the--

(aa) approval of all major financial expenditures of the agency;

(bb) annual approval of the operating budget of the agency;

(cc) selection (except when a financial auditor is assigned by the State under State law or is assigned under local law) of independent financial auditors who shall report all critical accounting policies and practices to the governing body; and

(dd) monitoring of the agency's actions to correct any audit findings and of other action necessary to comply with applicable laws (including regulations) governing financial statement and accounting practices;

(VIII) reviewing results from monitoring conducted under section 641A(c), including appropriate followup activities;

(IX) approving personnel policies and procedures, including policies and procedures regarding the hiring, evaluation, compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Fiscal Officer, and any other person in an equivalent position with the agency;

(X) establishing, adopting, and periodically updating written standards of conduct that establish standards

and formal procedures for disclosing, addressing, and resolving--

(aa) any conflict of interest, and any appearance of a conflict of interest, by members of the governing body, officers and employees of the Head Start agency, and consultants and agents who provide services or furnish goods to the Head Start agency; and

(bb) complaints, including investigations, when appropriate; and

(XI) to the extent practicable and appropriate, at the discretion of the governing body, establishing advisory committees to oversee key responsibilities related to program governance and improvement of the Head Start program involved.

(2) POLICY COUNCIL-

(A) IN GENERAL- Consistent with paragraph (1)(E), each Head Start agency shall have a policy council responsible for the direction of the Head Start program, including program design and operation, and long- and short-term planning goals and objectives, taking into account the annual communitywide strategic planning and needs assessment and self-assessment.

(B) COMPOSITION AND SELECTION-

(i) The policy council shall be elected by the parents of children who are currently enrolled in the Head Start program of the Head Start agency.

(ii) The policy council shall be composed of--

(I) parents of children who are currently enrolled in the Head Start program of the Head Start agency (including any delegate agency), who shall constitute a majority of the members of the policy council; and

(II) members at large of the community served by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.

(C) CONFLICT OF INTEREST- Members of the policy council shall-

(C) be responsible for approval and submission of decisions about activities as they relate to the delegate agency, consistent with paragraph (2)(D) (with respect to delegate agencies).

(d) Program Governance Administration-

(1) IMPASSE POLICIES- The Secretary shall develop policies, procedures, and guidance for Head Start agencies concerning--

(A) the resolution of internal disputes, including any impasse in the governance of Head Start programs; and

(B) the facilitation of meaningful consultation and collaboration about decisions of the governing body and policy council.

(2) CONDUCT OF RESPONSIBILITIES- Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and the policy council, about program planning, policies, and Head Start agency operations, including--

(A) monthly financial statements, including credit card expenditures;

(B) monthly program information summaries;

(C) program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;

(D) monthly reports of meals and snacks provided through programs of the Department of Agriculture;

(E) the financial audit;

(F) the annual self-assessment, including any findings related to such assessment;

(G) the communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates;

(H) communication and guidance from the Secretary; and

(I) the program information reports.

(3) TRAINING AND TECHNICAL ASSISTANCE- Appropriate training and technical assistance shall be provided to the members of the governing body and the policy council to ensure that the members understand the information the members receive and can effectively oversee and participate in the programs of the Head Start agency.

(e) Collaboration and Coordination- To be so designated, a Head Start agency shall collaborate and coordinate with public and private entities, to the maximum extent practicable, to improve the availability and quality of services to Head Start children and families, including carrying out the following activities:

(1) Conduct outreach to schools in which children participating in the Head Start program will enroll following the program, local educational agencies, the local business community, community-based organizations, faith-based organizations, museums, and libraries to generate support and leverage the resources of the entire local community in order to improve school readiness.

(2)(A) In communities where both a public prekindergarten program and a Head Start program operate, collaborate and coordinate activities with the local educational agency or other public agency responsible for the operation of the prekindergarten program and providers of prekindergarten, including outreach activities to identify eligible children.

(B) With the permission of the parents of children enrolled in the Head Start program, regularly communicate with the schools in which the children will enroll following the program, to--

(i) share information about such children;

(ii) collaborate with the teachers in such schools regarding professional development and instructional strategies, as appropriate; and

(iii) ensure a smooth transition to school for such children.

(3) Coordinate activities and collaborate with programs under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858 et seq.), the agencies responsible for administering section 106 of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a) and parts B and E of title IV of the Social Security Act (42 U.S.C. 621 et seq., 670 et seq.), programs under subtitle B of title VII of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.), Even Start programs under subpart 3 of part B of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6381 et seq.), programs under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.), and other entities providing early childhood education and development programs or services, serving the children and families served by the Head Start agency.

(4) Take steps to coordinate activities with the local educational agency serving the community involved and with schools in which children participating in the Head Start program will enroll following the program, including--

(A) collaborating on the shared use of transportation and facilities, in appropriate cases;

(B) collaborating to reduce the duplication and enhance the efficiency of services while increasing the program participation of underserved populations of eligible children; and

(C) exchanging information on the provision of noneducational services to such children.

(5) Enter into a memorandum of understanding, not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, with the appropriate local entity responsible for managing publicly funded preschool programs in the service area of the Head Start agency, that shall--

(A)(i) provide for a review of each of the activities described in clause (ii); and

(ii) include plans to coordinate, as appropriate, activities regarding--

(I) educational activities, curricular objectives, and instruction;

(II) public information dissemination and access to programs for families contacting the Head Start program or any of the preschool programs;

(III) selection priorities for eligible children to be served by programs;

(IV) service areas;

(V) staff training, including opportunities for joint staff training on topics such as academic content standards, instructional methods, curricula, and social and emotional development;

(VI) program technical assistance;

(VII) provision of additional services to meet the needs of working parents, as applicable;

(VIII) communications and parent outreach for smooth transitions to kindergarten as required in paragraphs (3) and (6) of section 642A(a);

(IX) provision and use of facilities, transportation, and other program elements; and

(X) other elements mutually agreed to by the parties to such memorandum;

(B) be submitted to the Secretary and the State Director of Head Start Collaboration not later than 30 days after the parties enter into such memorandum, except that--

(i) where there is an absence of publicly funded preschool programs in the service area of a Head Start agency, this paragraph shall not apply; or

(ii) where the appropriate local entity responsible for managing the publicly funded preschool programs is unable or unwilling to enter into such a memorandum, this paragraph shall not apply and the Head Start agency shall inform the Secretary and the State Director of Head Start Collaboration of such inability or unwillingness; and

(C) be revised periodically and renewed biennially by the parties to such memorandum, in alignment with the beginning of the school year.

(f) Quality Standards, Curricula, and Assessment- To be so designated, each Head Start agency shall--

(1) take steps to ensure, to the maximum extent practicable, that children maintain the developmental and educational gains achieved in Head Start programs and build upon such gains in further schooling;

(2) establish a program with the standards set forth in section 641A(a)(1), with particular attention to the standards set forth in subparagraphs (A) and (B) of such section;

(3) implement a research-based early childhood curriculum that--

(A) promotes young children's school readiness in the areas of language and cognitive development, early reading and mathematics skills, socio-emotional development, physical development, and approaches to learning;

(B) is based on scientifically valid research and has standardized training procedures and curriculum materials to support implementation;

(C) is comprehensive and linked to ongoing assessment, with developmental and learning goals and measurable objectives;

(D) is focused on improving the learning environment, teaching practices, family involvement, and child outcomes across all areas of development; and

(E) is aligned with the Head Start Child Outcomes Framework developed by the Secretary and, as appropriate, State early learning standards;

(4) implement effective interventions and support services that help promote the school readiness of children participating in the program;

(5) use research-based assessment methods that reflect the characteristics described in section 641A(b)(2) in order to support the educational instruction and school readiness of children in the program;

(6) use research-based developmental screening tools that have been demonstrated to be standardized, reliable, valid, and accurate for the child being assessed, to the maximum extent practicable, for the purpose of meeting the relevant standards described in section 641A(a)(1);

(7) adopt, in consultation with experts in child development and with classroom teachers, an evaluation to assess whether classroom teachers have mastered the functions discussed in section 648A(a)(1);

(8) use the information provided from the assessment conducted under section 641A(c)(2)(F) to inform professional development plans, as appropriate, that lead to improved teacher effectiveness;

(9) establish goals and measurable objectives for the provision of health, educational, nutritional, and social services provided under this subchapter and related to the program mission and to promote school readiness; and

(10) develop procedures for identifying children who are limited English proficient, and informing the parents of such children about the instructional services used to help children make progress towards acquiring the knowledge and skills described in section 641A(a)(1)(B) and acquisition of the English language.

(g) Funded Enrollment; Waiting List- Each Head Start agency shall enroll 100 percent of its funded enrollment and maintain an active waiting list at all times with ongoing outreach to the community and activities to identify underserved populations.

(h) Technical Assistance and Training Plan- In order to receive funds under this subchapter, a Head Start agency shall develop an annual technical assistance and

training plan. Such plan shall be based on the agency's self-assessment, the communitywide strategic planning and needs assessment, the needs of parents and children to be served by such agency, and the results of the reviews conducted under section 641A(c).

(i) Financial Management- In order to receive funds under this subchapter, a Head Start agency shall document strong fiscal controls, including the employment of well-qualified fiscal staff with a history of successful management of a public or private organization.

Sec. 642A. HEAD START TRANSITION AND ALIGNMENT WITH K-12 EDUCATION.

[42 U.S.C. 9837a]

(a) In General- Each Head Start agency shall take steps to coordinate with the local educational agency serving the community involved and with schools in which children participating in a Head Start program operated by such agency will enroll following such program **to promote continuity of services and effective transitions, including--**

- (1) developing and implementing a systematic procedure for transferring, with parental consent, Head Start program records for each participating child to the school in which such child will enroll;
- (2) establishing **ongoing** channels of communication between Head Start staff and their counterparts in the schools (including teachers, social workers, **local educational agency liaisons designated under section 722(g)(1)(J)(ii) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11432(g)(1)(J)(ii)), and health staff**) to facilitate coordination of programs;
- (3) **establishing ongoing communications between the Head Start agency and local educational agency for developing continuity of developmentally appropriate curricular objectives (which for the purpose of the Head Start program shall be aligned with the Head Start Child Outcomes Framework and, as appropriate, State early learning standards) and for shared expectations for children's learning and development as the children transition to school;**
- (4) organizing and participating in joint **training, including transition-related training for school staff and Head Start staff;**
- (5) **establishing comprehensive transition policies and procedures that support children transitioning to school, including by engaging the local educational agency in the establishment of such policies;**
- (6) **conducting outreach to parents and elementary school (such as kindergarten) teachers to discuss the educational, developmental, and other needs of individual children;**

- (7) helping parents of limited English proficient children understand—**
- (A) the instructional and other services provided by the school in which such child will enroll after participation in Head Start; and**
 - (B) as appropriate, the information provided to parents of limited English proficient children under section 3302 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 7012);**
- (8) developing and implementing a family outreach and support program, in cooperation with entities carrying out parental involvement efforts under title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6301 et seq.), and family outreach and support efforts under subtitle B of title VII of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.), taking into consideration the language needs of parents of limited English proficient children;**
- (9) assisting families, administrators, and teachers in enhancing educational and developmental continuity and continuity of parental involvement in activities between Head Start services and elementary school classes;**
- (10) linking the services provided in such Head Start program with educational services, including services relating to language, literacy, and numeracy, provided by such local educational agency;**
- (11) helping parents (including grandparents and kinship caregivers, as appropriate) to understand the importance of parental involvement in a child's academic success while teaching them strategies for maintaining parental involvement as their child moves from Head Start to elementary school;**
- (12) helping parents understand the instructional and other services provided by the school in which their child will enroll after participation in the Head Start program;**
- (13) developing and implementing a system to increase program participation of underserved populations of eligible children; and**
- (14) coordinating activities and collaborating to ensure that curricula used in the Head Start program are aligned with--**
- (A) the Head Start Child Outcomes Framework, as developed by the Secretary; and**
 - (B) State early learning standards, as appropriate, with regard to cognitive, social, emotional, and physical competencies that children entering kindergarten are expected to demonstrate.**

(b) Construction- In this section, a reference to a Head Start agency, or its program, services, facility, or personnel, shall not be construed to be a reference to an Early Head Start agency, or its program, services, facility, or personnel.

(c) Dissemination and Technical Assistance- The Secretary, in consultation with the Secretary of Education, shall--

(1) disseminate to Head Start agencies information on effective policies and activities relating to the transition of children from Head Start programs to public schools; and

(2) provide technical assistance to such agencies to promote and assist such agencies to adopt and implement such effective policies and activities.'

Sec. 642B. HEAD START COLLABORATION; STATE EARLY EDUCATION AND CARE

[42 U.S.C. 9837b]

(a)(1) From amounts made available under section 640(a)(2)(B)(vi), the Secretary shall award the collaboration grants described in paragraphs (2), (3), and (4).

(2)(A) The Secretary shall award, upon submission of a written request, a collaboration grant to each State and to each national administrative office serving Indian Head Start programs and migrant or seasonal Head Start programs to facilitate collaboration among Head Start agencies (including Early Head Start agencies) and entities that carry out activities designed to benefit low-income children from birth to school entry, and their families. The national administrative offices shall use the funds made available through the grants to carry out the authorities and responsibilities described in subparagraph (B) and paragraphs (3) and (4), as appropriate.

(B) Grants described in subparagraph (A) shall be used to—

(i) assist Head Start agencies to collaborate with entities involved in State and local planning processes to better meet the needs of low-income children from birth to school entry, and their families;

(ii) assist Head Start agencies to coordinate activities with the State agency responsible for administering the State program carried out under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858 et seq.) and entities providing resource and referral services in the State, to make full-working-day and full calendar year services available to children;

(iii) promote alignment of curricula used in Head Start programs and continuity of services with the Head Start Child Outcomes Framework and, as appropriate, State early learning standards;

(iv) promote better linkages between Head Start agencies and other child and family agencies, including agencies that provide health, mental health, or family services, or other child or family supportive services, such as services provided under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.); and

(v) carry out the activities of the State Director of Head Start Collaboration authorized in paragraph (4).

(3) In order to improve coordination and delivery of early childhood education and development to children in the State, a State that receives a collaboration grant under paragraph (2) shall--

(A) appoint or designate an individual to serve as, or carry out the responsibilities of, the State Director of Head Start Collaboration;

(B) ensure that the State Director of Head Start Collaboration holds a position with sufficient authority and access to ensure that the collaboration described in paragraph (2) is effective and involves a range of State agencies; and

(C) involve the State Head Start Association in the selection of the Director and involve the Association in determinations relating to the ongoing direction of the collaboration office involved.

(4) The State Director of Head Start Collaboration shall—

(A) not later than 1 year after the State receives a collaboration grant under paragraph (2), conduct an assessment that--

(i) addresses the needs of Head Start agencies in the State with respect to collaboration, coordination and alignment of services, and alignment of curricula and assessments used in Head Start programs with the Head Start Child Outcomes Framework and, as appropriate, State early learning standards;

(ii) shall be updated on an annual basis; and

(iii) shall be made available to the general public within the State;

(B) develop a strategic plan that is based on the assessment described in subparagraph (A) that will—

(i) enhance collaboration and coordination of Head Start services by Head Start agencies with other entities providing early childhood education and development (such as child care or services offered by museums), health care, mental health care, welfare, child protective services, education and community service activities, family literacy services, reading readiness programs (including such programs offered by public and school libraries), services relating to children with disabilities, other early childhood education and development for limited English proficient children and homeless children, and services provided for children in foster care and children referred to Head Start programs by child welfare agencies, including agencies and State officials responsible for services described in this clause;

(ii) assist Head Start agencies to develop a plan for the provision of full working-day, full calendar year services for children enrolled in Head Start programs who need such services;

(iii) assist Head Start agencies to align curricula and assessments used in Head Start programs with the Head Start Child Outcomes Framework and, as appropriate, State early learning standards; and

(iv) enable Head Start agencies to better access professional development opportunities for Head Start staff, such as by working with Head Start agencies to enable the agencies to meet the degree requirements described in section 648A(a)(2)(A), including providing distance learning opportunities for Head Start staff, where needed to make higher education more accessible to Head Start staff; and

(v) enable the Head Start agencies to better conduct outreach to eligible families;

(C) promote partnerships between Head Start agencies, State and local governments, and the private sector to help ensure that children from low-income families, who are in Head Start programs or are preschool age, are receiving comprehensive services to prepare the children for elementary school;

(D) consult with the chief State school officer, local educational agencies, and providers of early childhood education and development, at both the State and local levels;

(E) promote partnerships between Head Start agencies, schools, law enforcement, relevant community-based organizations, and substance abuse and mental health treatment agencies to strengthen family and community environments and to reduce the impact on child development of substance abuse, child abuse, domestic violence, and other high-risk behaviors that compromise healthy development;

(F) promote partnerships between Head Start agencies and other organizations in order to enhance Head Start program quality, including partnerships to promote inclusion of more books in Head Start classrooms;

(G) identify other resources and organizations (both public and private) for the provision of in-kind services to Head Start agencies in the State; and

(H) serve on the State Advisory Council in order to assist the efforts of Head Start agencies to engage in effective coordination and collaboration.

(b)(1)(A) The Governor of the State shall--

(i) designate or establish a council to serve as the State Advisory Council on Early Childhood Education and Care for children from birth to school entry (in this subchapter referred to as the State Advisory Council'); and

(ii) designate an individual to coordinate activities of the State Advisory Council, as described in subparagraph (D)(i).

(B) The Governor may designate an existing entity in the State to serve as the State Advisory Council, and shall appoint representatives to the State Advisory Council at the Governor's discretion. In designating an existing entity, the Governor shall take steps to ensure that its membership includes, to the extent possible, representatives consistent with subparagraph (C).

(C) Members of the State Advisory Council shall include, to the maximum extent possible--

(i) a representative of the State agency responsible for child care;

(ii) a representative of the State educational agency;

(iii) a representative of local educational agencies;

- (iv) a representative of institutions of higher education in the State;
- (v) a representative of local providers of early childhood education and development services;
- (vi) a representative from Head Start agencies located in the State, including migrant and seasonal Head Start programs and Indian Head Start programs;
- (vii) the State Director of Head Start Collaboration;
- (viii) a representative of the State agency responsible for programs under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.);
- (ix) a representative of the State agency responsible for health or mental health care; and
- (x) representatives of other entities determined to be relevant by the Governor of the State.

(D)(i) The State Advisory Council shall, in addition to any responsibilities assigned to the Council by the Governor of the State--

(I) conduct a periodic statewide needs assessment concerning the quality and availability of early childhood education and development programs and services for children from birth to school entry, including an assessment of the availability of high-quality pre-kindergarten services for low-income children in the State;

(II) identify opportunities for, and barriers to, collaboration and coordination among Federally-funded and State-funded child development, child care, and early childhood education programs and services, including collaboration and coordination among State agencies responsible for administering such programs;

(III) develop recommendations for increasing the overall participation of children in existing Federal, State, and local child care and early childhood education programs, including outreach to underrepresented and special populations;

(IV) develop recommendations regarding the establishment of a unified data collection system for public early childhood education and development programs and services throughout the State;

(V) develop recommendations regarding statewide professional development and career advancement plans for early childhood educators in the State;

(VI) assess the capacity and effectiveness of 2- and 4-year public and private institutions of higher education in the State toward supporting the development of early childhood educators, including the extent to which such institutions have in place articulation agreements, professional development and career advancement plans, and practice or internships for students to spend time in a Head Start or pre kindergarten program; and

(VII) make recommendations for improvements in State early learning standards and undertake efforts to develop high-quality comprehensive early learning standards, as appropriate.

(ii) The State Advisory Council shall hold public hearings and provide an opportunity for public comment on the activities described in clause (i). The State Advisory Council shall submit a statewide strategic report addressing the activities described in clause (i) to the State Director of Head Start Collaboration and the Governor of the State.

(iii) After submission of a statewide strategic report under clause (ii), the State Advisory Council shall meet periodically to review any implementation of the recommendations in such report and any changes in State and local needs.

(2)(A) The Secretary shall use the portion reserved under section 640(a)(4)(A)(iii) to award, on a competitive basis, one-time startup grants of not less than \$500,000 to eligible States to enable such States to pay for the Federal share of developing and implementing a plan pursuant to the responsibilities included under paragraph (1)(D)(i). A State that receives funds under this paragraph shall use such funds to facilitate the development or enhancement of high-quality systems of early childhood education and care designed to improve school preparedness through one or more of the following activities--

(i) promoting school preparedness of children from birth through school entry, including activities to encourage families and caregivers to engage in highly interactive, developmentally and age-appropriate activities to improve children's early social, emotional, and cognitive development, support the transition of young children to school, and foster parental and family involvement in the early education of young children;

(ii) supporting professional development, recruitment, and retention initiatives for early childhood educators;

(iii) enhancing existing early childhood education and development programs and services (in existence on the date on which the grant involved is awarded), including quality improvement activities authorized under the Child Care and Development Block Grant Act of 1990; and

(iv) carrying out other activities consistent with the State's plan and application, pursuant to subparagraph (B).

(B) To be eligible to receive a grant under this paragraph, a State shall prepare and submit to the Secretary a plan and application, for a 3-year period, at such time, in such manner, and containing such information as the Secretary shall require, including--

(i) the statewide strategic report described in paragraph (1)(D)(ii), including a description of the State Advisory Council's responsibilities under paragraph (1)(D)(i);

(ii) a description, for each fiscal year, of how the State will make effective use of funds available under this paragraph, with funds described in subparagraph (C), to create an early childhood education and care system, by developing or enhancing programs and activities consistent with the statewide strategic report described in paragraph (1)(D)(i);

(iii) a description of the State early learning standards and the State's goals for increasing the number of children entering kindergarten ready to learn;

(iv) information identifying the agency or joint interagency office, and individual, designated to carry out the activities under this paragraph, which may be the individual designated under paragraph (1)(A)(ii); and

(v) a description of how the State plans to sustain activities under this paragraph beyond the grant period.

(C) The Federal share of the cost of activities proposed to be conducted under subparagraph (A) shall be 30 percent, and the State shall provide the non-Federal share.

(D) Funds made available under this paragraph shall be used to supplement, and not supplant, other Federal, State, and local funds expended to carry out activities related to early childhood education and care in the State.

(E) Not later than 18 months after the date a State receives a grant under this paragraph, the State shall submit an interim report to the Secretary. A State that receives a grant under this paragraph shall submit a final report to the Secretary at the end of the grant period. Each report shall include--

(i) a description of the activities and services carried out under the grant, including the outcomes of such activities and services in meeting the needs described in the periodic needs assessment and statewide strategic report;

(ii) information about how the State used such funds to meet the goals of this subsection through activities to develop or enhance high-quality systems of early childhood education and care, increase effectiveness of delivery systems and use of funds, and enhance existing programs and services;

(iii) information regarding the remaining needs described in the periodic statewide needs assessment and statewide strategic report that have not yet been addressed by the State; and

(iv) any other information that the Secretary may require.

(F) Nothing in this subsection shall be construed to provide the State Advisory Council with authority to modify, supersede, or negate the requirements of this subchapter.

Sec. 643. SUBMISSION OF PLANS TO GOVERNORS

[42 U.S.C. 9838]

In carrying out the provisions of this subchapter, no contract, agreement, grant, or other assistance shall be made for the purpose of carrying out a Head Start program within a State unless a plan setting forth such proposed contract, agreement, grant, or other assistance has been submitted to the chief executive officer of the State, and such plan has not been disapproved by such officer within 45 days of such submission, or, if disapproved (for reasons other than failure of the program to comply with State health, safety, and child care laws, including regulations applicable to comparable child care programs in the State), has been reconsidered by the Secretary and found by the Secretary to be fully consistent with the provisions and in furtherance of the purposes of this subchapter, as evidenced by a written statement of the Secretary's findings that is transmitted to such officer. Funds to cover the costs of the proposed contract, agreement, grant, or other assistance shall be obligated from the appropriation which is current at the time the plan is submitted to such officer. This section shall not, however, apply to contracts, agreements, grants, loans, or other assistance to any institution of higher education in existence on the date of the enactment of this Act.

This section shall not apply to contracts, agreements, grants, loans, or other assistance for Indian Head Start programs or migrant or seasonal Head Start programs.

Sec. 644. ADMINISTRATIVE REQUIREMENTS AND STANDARDS
[42 U.S.C. 9839]

(a)(1) Each Head Start agency shall observe standards of organization, management, and administration that will ensure, so far as reasonably possible, that all program activities are conducted in a manner consistent with the purposes of this subchapter and the objective of providing assistance effectively, efficiently, and free of any taint of partisan political bias or personal or family favoritism. Each such agency shall establish or adopt rules to carry out this section, which shall include rules to assure full staff accountability in matters governed by law, regulations, or agency policy. Each agency shall also provide for reasonable public access to information, including public hearings at the request of appropriate community groups and reasonable public access to books and records of the agency or other agencies engaged in program activities or operations involving the use of authority or funds for which it is responsible.

(2) Each Head Start agency shall make available to the public a report published at least once in each fiscal year that discloses the following information from the most recently concluded fiscal year, except that reporting such information shall not reveal personally identifiable information about an individual child or parent:

- (A) The total amount of public and private funds received and the amount from each source.**
- (B) An explanation of budgetary expenditures and proposed budget for the fiscal year.**
- (C) The total number of children and families served, the average monthly enrollment (as a percentage of funded enrollment), and the percentage of eligible children served.**
- (D) The results of the most recent review by the Secretary and the financial audit.**
- (E) The percentage of enrolled children that received medical and dental exams.**
- (F) Information about parent involvement activities.**
- (G) The agency's efforts to prepare children for kindergarten.**
- (H) Any other information required by the Secretary.**

(3) Each such agency shall adopt for itself and other agencies using funds or exercising authority for which it is responsible, rules designed to--

(A) establish specific standards governing salaries, salary increases, travel and per diem allowances, and other employee benefits;

(B) assure that only persons capable of discharging their duties with competence and integrity are employed and that employees are promoted or advanced under impartial procedures calculated to improve agency performance and effectiveness;

(C) guard against personal or financial conflicts of interest; **and**

(D) define employee duties in an appropriate manner that will in any case preclude employees from participating, in connection with the performance of their duties, in any form of picketing, protest, or other direct action that is in violation of law.

(b) Except as provided in subsection (f) of this section, no financial assistance shall be extended under this subchapter in any case in which the Secretary determines that the costs of developing and administering a program assisted under this subchapter exceed 15 percent of the total costs, including the required non-Federal contributions to such costs, of such program. The Secretary shall establish by regulation, criteria for determining

(1) the costs of developing and administering such program; and

(2) the total costs of such program. In any case in which the Secretary determines that the cost of administering such program does not exceed 15 percent of such total costs but is, in the judgment of the Secretary, excessive, the Secretary shall forthwith require the recipient of such financial assistance to take such steps prescribed by the Secretary as will eliminate such excessive administrative cost, including the sharing by one or more Head Start agencies of a common director and other administrative personnel. The Secretary may waive the limitation prescribed by this subsection for specific periods of time not to exceed 12 months whenever the Secretary determines that such a waiver is necessary in order to carry out the purposes of this subchapter.

(c) The Secretary shall prescribe rules or regulations to supplement subsections (a) and (f) of this section, which shall be binding on all agencies carrying on Head Start program activities with financial assistance under this subchapter. The Secretary may, where appropriate, establish special or simplified requirements for smaller agencies or agencies operating in rural areas. Policies and procedures shall be established to ensure that indirect costs attributable to the common or joint use of facilities and services by programs assisted under this subchapter and other programs shall be fairly allocated among the various programs which utilize such facilities and services.

(d) At least 30 days prior to their effective date, all rules, regulations and application forms shall be published in the Federal Register and shall be sent to each grantee with the

notification that each such grantee has the right to submit comments pertaining thereto to the Secretary prior to the final adoption thereof.

(e) Funds appropriated to carry out this subchapter shall not be used to assist, promote, or deter union organizing.

(f)(1) The Secretary shall establish uniform procedures for Head Start agencies to request approval to purchase facilities, or to request approval of the purchase (after December 31, 1986) of facilities, to be used to carry out Head Start programs. The Secretary shall suspend any proceedings pending against any Head Start agency to claim costs incurred in purchasing such facilities until the agency has been afforded an opportunity to apply for approval of the purchase and the Secretary has determined whether the purchase will be approved. The Secretary shall not be required to repay claims previously satisfied by Head Start agencies for costs incurred in the purchase of such facilities.

(2) Financial assistance provided under this subchapter may not be used by a Head Start agency to purchase a facility (including paying the cost of amortizing the principal, and paying interest on, loans) to be used to carry out a Head Start program unless the Secretary approves a request that is submitted by such agency and contains—

(A) a description of the efforts by the agency to coordinate or collaborate with other providers in the community to seek assistance, including financial assistance, prior to the use of funds under this section;

(B) a description of the site of the facility proposed to be purchased or that was previously purchased;

(C) the plans and specifications of such facility;

(D) information demonstrating that--

(i) the proposed purchase will result, or the previous purchase has resulted, in savings when compared to the costs that would be incurred to acquire the use of an alternative facility to carry out such program; or

(ii) the lack of alternative facilities will prevent, or would have prevented, the operation of such program;

(E) in the case of a request regarding a previously purchased facility, information demonstrating that the facility will be used principally as a Head Start center, or a direct support facility for a Head Start program; and

(F) such other information and assurances as the Secretary may require.

(3) Upon a determination by the Secretary that suitable facilities are not otherwise available to Indian tribes to carry out Head Start programs, and that the lack of suitable facilities will inhibit the operation of such programs, the Secretary, in the discretion of the Secretary, may authorize the use of financial assistance to make payments for the purchase of facilities owned by such tribes. The amount of such a payment for such a facility shall not exceed the fair market value of the facility.

(g)(1) Upon a determination by the Secretary that suitable facilities (including public school facilities) are not otherwise available to Indian tribes, rural communities, and other low-income communities to carry out Head Start programs, that the lack of suitable facilities will inhibit the operation of such programs, and that construction of such facilities is more cost effective than purchase of available facilities or renovation, the Secretary, in the discretion of the Secretary, may authorize the use of financial assistance under this subchapter to make payments for capital expenditures related to facilities that will be used to carry out such programs. The Secretary shall establish uniform procedures for Head Start agencies to request approval for such payments, and shall promote, to the extent practicable, the collocation of Head Start programs with other programs serving low-income children and families.

(2) Such payments may be used for capital expenditures (including paying the cost of amortizing the principal, and paying interest on, loans) such as expenditures for--

(A) construction of facilities that are not in existence on the date of the determination;

(B) major renovation of facilities in existence on such date; and

(C) purchase of vehicles used for programs conducted at the Head Start facilities.

(3) All laborers and mechanics employed by contractors or subcontractors in the construction or renovation of facilities to be used to carry out Head Start programs shall be paid wages at not less than those prevailing on similar construction in the locality, as determined by the Secretary of Labor in accordance with the Act of March 3, 1931, as amended (40 U.S.C. 276a et seq., commonly known as the "Davis-Bacon Act").

(h) In all personnel actions of the American Indian Programs Branch of the Head Start Bureau of the Administration for Children and Families, the Secretary shall give the same preference to individuals who are members of an Indian tribe as the Secretary gives to a disabled veteran, as defined in section 2108(3)(C) of title 5, United States Code. The Secretary shall take such additional actions as may be necessary to promote recruitment of such individuals for employment in the Administration.

Sec. 645. PARTICIPATION IN HEAD START PROGRAMS

[42 U.S.C. 9840]

(a)(1)(A) The Secretary shall by regulation prescribe eligibility for the participation of persons in Head Start programs assisted under this subchapter.

(B) Except as provided in paragraph (2), such regulation **shall** provide--

(i) that children from low-income families shall be eligible for participation in programs assisted under this subchapter if their families' incomes are below the poverty line, or if their families are eligible or, in the absence of child care, would potentially be eligible for public assistance; and

(ii) that homeless children shall be deemed to be eligible for such participation;

(iii) that programs assisted under this subchapter may include--

(I) to a reasonable extent (but not to exceed 10 percent of participants), participation of children in the area served who would benefit from such programs but who are not eligible under clause (i) or (ii); and

(II) from the area served, an additional 35 percent of participants who are not eligible under clause (i) or (ii) and whose families have incomes below 130 percent of the poverty line, if—

(aa) the Head Start agency involved establishes and implements outreach and enrollment policies and procedures that ensure such agency is meeting the needs of children eligible under clause (i) or (ii) (or subclause (I) if the child involved has a disability) prior to meeting the needs of children eligible under this subclause; and

(bb) in prioritizing the selection of children to be served, the Head Start agency establishes criteria that provide that the agency will serve children eligible under clause (i) or (ii) prior to serving the children eligible under this subclause;

(iv) that any Head Start agency serving children eligible under clause (iii)(II) shall report annually to the Secretary information on--

(I) how such agency is meeting the needs of children eligible under clause (i) or (ii), in the area served,

including local demographic data on families of children eligible under clause (i) or (ii);

(II) the outreach and enrollment policies and procedures established by the agency that ensure the agency is meeting the needs of children eligible under clause (i) or (ii) (or clause (iii)(I) if the child involved has a disability) prior to meeting the needs of children eligible under clause (iii)(II);

(III) the efforts, including outreach efforts (that are appropriate to the community involved), of such agency to be fully enrolled with children eligible under clause (i) or (ii);

(IV) the policies, procedures, and selection criteria such agency is implementing to serve eligible children, consistent with clause (iii)(II);

(V) the agency's enrollment level, and enrollment level over the fiscal year prior to the fiscal year in which the report is submitted;

(VI) the number of children served by the agency, disaggregated by whether such children are eligible under clause (i), clause (ii), clause (iii)(I), or clause (iii)(II); and

(VII) the eligibility criteria category of the children on the agency's waiting list;

(v) that a child who has been determined to meet the **eligibility criteria described in this subparagraph** and who is participating in a Head Start program in a program year shall be considered to continue to meet the eligibility criteria through the end of the succeeding program year.

(C) In determining, for purposes of this paragraph, whether a child who has applied for enrollment in a Head Start program meets the **eligibility criteria**, an entity may consider evidence of family income during the 12 months preceding the month in which the application is submitted, **or** during the calendar year preceding the calendar year in which the application is submitted, whichever more accurately reflects the needs of the family at the time of application.

(2) Whenever a Head Start program is operated in a community with a population of 1,000 or less individuals and--

(A) there is no other preschool program in the community;

(B) the community is located in a medically underserved area, as designated by the Secretary pursuant to section 330(b)(3) of the Public Health Service Act [42 U.S.C. §254c(b)(3)] and is located in a health professional shortage area, as designated by the Secretary pursuant to section 332(a)(1) of such Act [42 U.S.C. §254e(a)(1)];

(C) the community is in a location which, by reason of remoteness, does not permit reasonable access to the types of services described in clauses (A) and (B); and

(D) not less than 50 percent of the families to be served in the community are eligible under the eligibility criteria established by the Secretary under paragraph (1); the Head Start program in such locality shall establish the criteria for eligibility, except that no child residing in such community whose family is eligible under such eligibility criteria shall, by virtue of such project's eligibility criteria, be denied an opportunity to participate in such program. During the period beginning on the date of the enactment of the Human Services Reauthorization Act and ending on October 1, 1994, and unless specifically authorized in any statute of the United States enacted after such date of enactment, the Secretary may not make any change in the method, as in effect on April 25, 1984, of calculating income used to prescribe eligibility for the participation of persons in the Head Start programs assisted under this subchapter if such change would result in any reduction in, or exclusion from, participation of persons in any of such programs.

(3)(A) In this paragraph:

(i) The term “dependent” has the meaning given the term in paragraphs (2)(A) and (4)(A)(i) of section 401(a) of title 37, United States Code.

(ii) The terms “member” and “uniformed services” have the meanings given the terms in paragraphs (23) and (3), respectively, of section 101 of title 37, United States Code.

(B) The following amounts of pay and allowance of a member of the uniformed services shall not be considered to be income for purposes of determining the eligibility of a dependent of such member for programs funded under this subchapter:

(i) The amount of any special pay payable under section 310 of title 37, United States Code, relating to duty subject to hostile fire or imminent danger.

(ii) The amount of basic allowance payable under section 403 of such title, including any such amount that is provided on behalf of the member for housing that is acquired or constructed under the alternative authority for the acquisition and improvement of military housing under subchapter IV of chapter 169 of title 10, United States Code, or any other related provision of law.

(4) After demonstrating a need through a communitywide strategic planning and needs assessment, a Head Start agency may apply to the Secretary to convert part-day sessions, particularly consecutive part-day sessions, into full-working-day sessions.

(5)(A) Upon written request and pursuant to the requirements of this paragraph, a Head Start agency may use funds that were awarded under this subchapter to serve children age 3 to compulsory school age, in order to serve infants and toddlers if the agency submits an application to the Secretary containing, as specified in rules issued by the Secretary, all of the following information:

(i) The amount of such funds that are proposed to be used in accordance with section 645A(b).

(ii) A communitywide strategic planning and needs assessment demonstrating how the use of such funds would best meet the needs of the community.

(iii) A description of how the needs of pregnant women, and of infants and toddlers, will be addressed in accordance with section 645A(b), and with regulations prescribed by the Secretary pursuant to section 641A in areas including the agency's approach to child development and provision of health services, approach to family and community partnerships, and approach to program design and management.

(iv) A description of how the needs of eligible children will be met in the community.

(v) Assurances that the agency will participate in technical assistance activities (including planning, start-up site visits, and national training activities) in the same manner as recipients of grants under section 645A.

(vi) Evidence that the agency meets the same eligibility criteria as recipients of grants under section 645A.

(B) An application that satisfies the requirements specified in subparagraph (A) shall be approved by the Secretary unless the Secretary finds that--

(i) the agency lacks adequate capacity and capability to carry out an effective Early Head Start program; or

(ii) the information provided under subparagraph (A) is inadequate.

(C) In approving such applications, the Secretary shall take into account the costs of serving persons under section 645A.

(D) Any Head Start agency with an application approved under subparagraph (B) shall be considered to be an Early Head Start agency and shall be subject to the same rules, regulations, and conditions as apply to recipients of grants under section 645A, with respect to activities carried out under this paragraph.

(b) The Secretary shall not prescribe any fee schedule or otherwise provide for the charging of any fees for participation in Head Start programs, unless such fees are authorized by legislation hereafter enacted. Nothing in this subsection shall be construed to prevent the families of children who participate in Head Start programs and who are willing and able to pay the full cost of such participation from doing so. A Head Start agency that provides a Head Start program with full-working-day services in collaboration with other agencies or entities may collect a family copayment to support extended day services if a copayment is required in conjunction with the collaborative. The copayment charged to families receiving services through the Head Start program shall not exceed the copayment charged to families with similar incomes and circumstances who are receiving the services through participation in a program carried out by another agency or entity.

(c) Each Head Start program operated in a community shall be permitted to provide more than 1 year of Head Start services to eligible children in the State. Each Head Start program operated in a community shall be permitted to recruit and accept applications for enrollment of children throughout the year.

(d)(1) An Indian tribe that--

(A) operates a Head Start program;

(B) enrolls as participants in the program all children in the community served by the tribe (including a community that is an off-reservation area, designated by an appropriate tribal government, in consultation with the Secretary) from families that meet the low-income criteria prescribed under subsection (a)(1)(A); and

(C) has the resources to enroll additional children in the community who do not meet the low-income criteria;

may enroll such additional children in a Head Start program, in accordance with this subsection, if the program predominantly serves children who meet the low-income criteria.

(2) The Indian tribe shall enroll the children in the Head Start program in accordance with such requirements as the Secretary may specify by regulation promulgated after consultation with Indian tribes.

(3) Notwithstanding any other provision of this Act, an Indian tribe or tribes that operates both an Early Head Start program under section 645A and a Head Start program may, at its discretion, at any time during the grant period involved, reallocate funds between the Early Head Start program and the Head Start program in order to address fluctuations in client populations, including pregnant women and children from birth to compulsory school age. The reallocation of such funds between programs by an Indian tribe or tribes during a year shall not serve as the basis for the Secretary to reduce a base grant (as defined in section 640(a)(7)) for either program in succeeding years.

Sec. 645A. **EARLY HEAD START PROGRAMS.**

[42 U.S.C. 9840A]

(a) **IN GENERAL.**-- The Secretary shall make grants to entities (referred to in this subchapter as **Early Head Start agencies'**) in accordance with this section for programs (referred to in this subchapter as **Early Head Start programs**) providing family-centered services for low-income families with very young children designed to promote the development of the children, and to enable their parents to fulfill their roles as parents and to move toward self-sufficiency.

(b) **SCOPE AND DESIGN OF PROGRAMS.**--In carrying out a program described in subsection (a), an entity receiving assistance under this section shall--

(1) provide, either directly or through referral, early, continuous, intensive, and comprehensive child development and family support services that will enhance the physical, social, emotional, and intellectual development of participating children;

(2) ensure that the level of services provided to families responds to their needs and circumstances;

(3) promote positive parent-child interactions;

(4) provide services to parents to support their role as parents (**including parenting skills training and training in basic child development**) and

services to help the families move toward self-sufficiency (including educational and employment services, as appropriate);

(5) coordinate services with services provided by programs in the State **(including home-based services)** and programs in the community (including programs for infants and toddlers with disabilities **and programs for homeless infants and toddlers**) to ensure a comprehensive array of services (such as health and mental health services **and family support services**);

(6) **ensure that children with documented behavioral problems, including problems involving behavior related to prior or existing trauma, receive appropriate screening and referral;**

(7) ensure formal linkages with local Head Start programs in order to provide for continuity of services for children and families;

(8) **develop and implement a systematic procedure for transitioning children and parents from an Early Head Start program to a Head Start program or other local early childhood education and development program;**

(9) **establish channels of communication between staff of the Early Head Start program, and staff of a Head Start program or other local providers of early childhood education and development programs, to facilitate the coordination of programs;**

(10) in the case of a Head Start agency that operates a program and that also provides Head Start services through the age of mandatory school attendance, ensure that children and families participating in the program receive such services through such age;

(11) ensure formal linkages with **providers of early intervention services for infants and toddlers with disabilities under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.), with the State interagency coordinating council, as established in part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.), and with the agency responsible for administering section 106 of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a);**and

(12) meet such other requirements concerning design and operation of the program described in subsection (a) as the Secretary may establish.

(c) **PERSONS ELIGIBLE TO PARTICIPATE.**--Persons who may participate in programs described in subsection (a) include--

(1) pregnant women; and

(2) families with children under age 3;

who meet the eligibility criteria specified in section 645(a)(1), including the criteria specified in section 645(a)(1)(B)(ii).

(d) **ELIGIBLE SERVICE PROVIDERS.**--To be eligible to receive assistance under this section, an entity shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require. Entities that may apply to carry out activities under this section include--

(1) entities operating Head Start programs under this subchapter;

(2) entities operating Indian Head Start programs or migrant or seasonal Head Start programs; and

(3) other public entities, and nonprofit or for-profit private entities, including community-based and faith-based organizations, capable of providing child and family services that meet the standards for participation in programs under this subchapter and meet such other appropriate requirements relating to the activities under this section as the Secretary may establish.

(e) **SELECTION OF GRANT RECIPIENTS.**-- The Secretary shall award grants under this section on a competitive basis to applicants meeting the criteria specified in subsection (d) (giving priority to entities with a record of providing early, continuous, and comprehensive childhood development and family services).

(f) **DISTRIBUTION.**--In awarding grants to eligible applicants under this section, the Secretary shall--

(1) ensure an equitable national geographic distribution of the grants; and

(2) award grants to applicants proposing to serve communities in rural areas and to applicants proposing to serve communities in urban areas.

(g) **Monitoring, Training, Technical Assistance, and Evaluation-**

(1) **REQUIREMENT-** In order to ensure the successful operation of programs assisted under this section, the Secretary shall use funds **made available under section 640(a)(2)(E)** to monitor the operation of such programs, **and funds made available under section 640(a)(2)(C)(i)(I) to provide training and technical assistance tailored to the particular needs of such programs, consistent with section 640(c).**

(2) **TRAINING AND TECHNICAL ASSISTANCE-**

(A) ACTIVITIES- **Of the portion set aside under section 640(a)(2)(C)(i)(I)--**

(i) not less than 50 percent shall be made available to Early Head Start agencies to use directly, which may include, at their

discretion, the establishment of local or regional agreements with community experts, institutions of higher education, or private consultants, for training and technical assistance activities in order to make program improvements identified by such agencies;

(ii) not less than 25 percent shall be available to the Secretary to support a State-based training and technical assistance system, or a national system, described in section 648(e), including infant and toddler specialists, to support Early Head Start agencies, consistent with subparagraph (B); and

(iii) the remainder of such amount shall be made available to the Secretary to assist Early Head Start agencies in meeting and exceeding the standards described in section 641A(a)(1) (directly, or through grants, contracts, or other agreements or arrangements with an entity with demonstrated expertise relating to infants, toddlers, and families) by—

(I) providing ongoing training and technical assistance to Early Head Start agencies, including developing training and technical assistance materials and resources to support program development and improvement and best practices in providing services to children and families served by Early Head Start programs;

(II) supporting a national network of infant and toddler specialists designed to improve the quality of Early Head Start programs;

(III) providing ongoing training and technical assistance on Early Head Start program development and improvement for regional staff charged with monitoring and overseeing the administration of the program carried out under this section; and

(IV) if funds remain after the activities described in subclauses (I), (II), and (III) are carried out, carry out 1 or more of the following activities:

(aa) Providing support and program planning and implementation assistance for new Early Head Start agencies, including for agencies who want to use funds as described in section 645(a)(5) to serve infants and toddlers.

(bb) Creating special training and technical assistance initiatives targeted to serving high-risk populations, such as children in the child welfare system and homeless children.

(cc) Providing professional development designed to increase program participation for underserved populations of eligible children.

(B) CONTRACTS- For the purposes of supporting a State-based system, as described in subparagraph (A)(ii), that will meet the needs of Early Head Start agencies and provide high-quality, sustained, and intensive training and technical assistance on programming for infants and toddlers to Early Head Start agencies, and in order to help such agencies meet or exceed the standards described in section 641A(a)(1), the Secretary shall--

(i) use funds reserved under subparagraph (A)(ii) in combination with funds reserved under section 640(a)(2)(C)(i)(II)(bb) to ensure the contracts described in section 648(e)(1) provide for a minimum of 1 full-time specialist with demonstrated expertise in the development of infants and toddlers; and

(ii) ensure that such contracts and the services provided in the contracts are integrated with and augment the contracts awarded and services provided under section 648(e);

(h) Center-Based Staff- The Secretary shall--

(1) ensure that, not later than September 30, 2010, all teachers providing direct services to children and families participating in Early Head Start programs located in Early Head Start centers, have a minimum of a child development associate credential, and have been trained (or have equivalent coursework) in early childhood development; and

(2) establish staff qualification goals to ensure that not later than September 30, 2012, all such teachers have been trained (or have equivalent coursework) in early childhood development with a focus on infant and toddler development.

(i) Staff Qualifications and Development-

(1) HOME VISITOR STAFF STANDARDS- In order to further enhance the quality of home visiting services provided to families of children participating in home-based, center-based, or combination program options

under this subchapter, the Secretary shall establish standards for training, qualifications, and the conduct of home visits for home visitor staff in Early Head Start programs.

(2) CONTENTS OF STANDARDS- The standards for training, qualifications, and the conduct of home visits shall include content related to—

(A) structured child-focused home visiting that promotes parents' ability to support the child's cognitive, social, emotional, and physical development;

(B) effective strengths-based parent education, including methods to encourage parents as their child's first teachers;

(C) early childhood development with respect to children from birth through age 3;

(D) methods to help parents promote emergent literacy in their children from birth through age 3, including use of research-based strategies to support the development of literacy and language skills for children who are limited English proficient;

(E) ascertaining what health and developmental services the family receives and working with providers of these services to eliminate gaps in service by offering annual health, vision, hearing, and developmental screening for children from birth to entry into kindergarten, when needed;

(F) strategies for helping families coping with crisis; and

(G) the relationship of health and well-being of pregnant women to prenatal and early child development.

Sec. 646. **APPEALS, NOTICE, AND HEARING**
[42 U.S.C. 9841]

(a) The Secretary shall prescribe --

(1) **procedures to assure that** special notice of and an opportunity for a timely and expeditious appeal to the Secretary will be provided for an agency or organization which desires to serve as a delegate agency under this subchapter and whose application to the Head start agency has been wholly or substantially rejected or has not been acted upon within a period of time deemed reasonable by the Secretary, in accordance with regulations which the Secretary shall prescribe;

(2) **procedures to assure that** financial assistance under this subchapter shall not be suspended, except in emergency situations, unless the recipient agency has

been given reasonable notice and opportunity to show cause why such action should not be taken;

(3) procedures to assure that financial assistance under this subchapter may be terminated or reduced, and an application for refunding may be denied, after the recipient has been afforded reasonable notice and opportunity for a full and fair hearing including--

(A) a right to file a notice of appeal of a decision not later than 30 days after notice of the decision from the Secretary; and

(B) access to a full and fair hearing of the appeal, not later than 120 days after receipt by the Secretary of the notice of appeal;

(4) procedures (including mediation procedures) are developed and published, to be used in order to--

(A) resolve in a timely manner conflicts potentially leading to an adverse action between--

(i) recipients of financial assistance under this subchapter; and

(ii) delegate agencies, or policy councils of Head Start agencies;

(B) avoid the need for an administrative hearing on an adverse action; and

(C) prohibit a Head Start agency from expending financial assistance awarded under this subchapter for the purpose of paying legal fees, or other costs incurred, pursuant to an appeal under paragraph (3);

(5) procedures to assure that the Secretary may suspend financial assistance to a recipient under this subchapter—

(A) except as provided in subparagraph (B), for not more than 30 days; or

(B) in the case of a recipient under this subchapter that has multiple and recurring deficiencies for 180 days or more and has not made substantial and significant progress toward meeting the goals of the grantee's quality improvement plan or eliminating all deficiencies identified by the Secretary, during the hearing of an appeal described in paragraph (3), for any amount of time; and

(6) procedures to assure that in cases where a Head Start agency prevails in a decision under paragraph (4), the Secretary may determine and provide a reimbursement to the Head Start agency for fees deemed reasonable and customary

(b) In prescribing procedures for the mediation described in subsection (a)(4), the Secretary shall specify--

- (1) the date by which a Head Start agency engaged in a conflict described in subsection (a)(4) will notify the appropriate regional office of the Department of the conflict; and
- (2) a reasonable period for the mediation.

(c) The Secretary shall also specify--

- (1) a timeline for an administrative hearing, if necessary, on an adverse action; and
- (2) a timeline by which the person conducting the administrative hearing shall issue a decision based on the hearing.

(d) In any case in which a termination, reduction, or suspension of financial assistance under this subchapter is upheld in an administrative hearing under this section, such termination, reduction, or suspension shall not be stayed pending any judicial appeal of such administrative decision.

(e)(1) The Secretary shall by regulation specify a process by which an Indian tribe may identify and establish an alternative agency, and request that the alternative agency be designated under section 641 as the Head Start agency providing services to the tribe, if--

(A) the Secretary terminates financial assistance under section 646 to the only agency that was receiving financial assistance to provide Head Start services to the Indian tribe; and

(B) the tribe would otherwise be precluded from providing such services to the members of the tribe.

(2) The regulation required by this subsection shall prohibit such designation of an alternative agency that includes an employee who--

(A) served on the administrative staff or program staff of the agency described in paragraph (1)(A); and

(B) was responsible for a deficiency that--

(i) relates to the performance standards or financial management standards described in section 641A(a)(1); and

(ii) was the basis for the termination of financial assistance described in paragraph (1)(A);

as determined by the Secretary after providing the notice and opportunity described in subsection (a)(3).

Sec. 647. RECORDS AND AUDITS

[42 U.S.C. 9842]

(a) Each recipient of financial assistance under this subchapter shall keep such records as the Secretary shall prescribe, including records which fully disclose the amount and disposition by such recipient of the proceeds of such financial assistance, the total cost of the project or undertaking in connection with which such financial assistance is given or used, the amount of that portion of the cost of the project or undertaking supplied by other sources, and such other records as will facilitate an effective audit.

(b) The Secretary and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access for the purpose of audit and examination to any books, documents, papers, and records of the recipients that are pertinent to the financial assistance received under this subchapter.

(c) Each recipient of financial assistance under this subchapter shall—

(1) maintain, and annually submit to the Secretary, a complete accounting of the recipient's administrative expenses (including a detailed statement identifying the amount of financial assistance provided under this subchapter used to pay expenses for salaries and compensation and the amount (if any) of other funds used to pay such expenses);

(2) not later than 30 days after the date of completion of an audit conducted in the manner and to the extent provided in chapter 75 of title 31, United States Code (commonly known as the Single Audit Act of 1984'), submit to the Secretary a copy of the audit management letter and of any audit findings as they relate to the Head Start program; and

(3) provide such additional documentation as the Secretary may require.

Sec. 648. TECHNICAL ASSISTANCE AND TRAINING.

[42 U.S.C. 9843]

(a) Secretarial Training and Technical Assistance-

(1) AUTHORITY- From the funds provided under section 640(a)(2)(C)(i), the Secretary shall provide, directly or through grants, contracts, or other agreements or arrangements as the Secretary considers appropriate, technical assistance and training for Head Start programs for the purposes of improving program quality and helping prepare children to succeed in school.

(2) PROCESS- The process for determining the technical assistance and training activities to be carried out under this section shall--

(A) ensure that the needs of local Head Start agencies and programs relating to improving program quality and to program expansion are addressed to the maximum extent **practicable; and**

(B) incorporate mechanisms to ensure responsiveness to local needs, including an ongoing procedure for obtaining input from the individuals and agencies carrying out Head Start programs.

(3) ACTIVITIES- In providing training and technical assistance and for allocating resources for such assistance under this section, the Secretary shall--

(A) give priority consideration to--

(i) activities to correct program and management deficiencies identified through reviews carried out pursuant to section 641A(c) (including the provision of assistance to local programs in the development of quality improvement plans under section 641A(d)(2));

(ii) assisting Head Start agencies in ensuring the school readiness of children; and

(iii) activities that supplement those funded with amounts provided under section 640(a)(5)(B) to address the training and career development needs of classroom staff (including instruction for providing services to children with disabilities, and for activities described in section 1222(d) of the Elementary and Secondary Education Act of 1965), and non-classroom staff, including home visitors and other staff working directly with families, including training relating to increasing parent involvement and services designed to increase family literacy and improve parenting skills; and

(B) to the maximum extent practicable--

(i) assist Head Start agencies in the development of collaborative initiatives with States and other entities within the States, to foster effective professional development systems for early childhood education and development services;

(ii) provide technical assistance and training, either directly or through a grant, contract, or cooperative agreement with

an entity that has experience in the development and operation of successful family literacy services programs, for the purpose of--

(I) assisting Head Start agencies providing family literacy services, in order to improve the quality of such family literacy services; and

(II) enabling those Head Start agencies that demonstrate effective provision of family literacy services, based on improved outcomes for children and their parents, to provide technical assistance and training to other Head Start agencies and to service providers that work in collaboration with such agencies to provide family literacy services;

(iii) assist Head Start agencies and programs in conducting and participating in communitywide strategic planning and needs assessments, including the needs of homeless children and their families, and in conducting self-assessments;

(iv) assist Head Start agencies and programs in developing and implementing full-working-day and full calendar year programs where community need is clearly identified and making the transition to such programs, with particular attention to involving parents and programming for children throughout the day, and assist the agencies and programs in expediting the sharing of information about innovative models for providing full-working-day, full calendar year services for children;

(v) assist Head Start agencies in better serving the needs of families with very young children, including providing support and program planning and implementation assistance for Head Start agencies that apply to serve or are serving additional infants and toddlers, in accordance with section 645(a)(5);

(vi) assist Head Start agencies and programs in the development of sound management practices, including financial management procedures;

(vii) assist in efforts to secure and maintain adequate facilities for Head Start programs;

(III) removing barriers related to outreach efforts to eligible families in rural communities;

(IV) removing barriers to parent involvement in Head Start programs in rural communities;

(V) removing barriers to providing home visiting services in rural communities; and

(VI) removing barriers to obtaining health screenings for Head Start participants in rural communities;

(xiii) provide training and technical assistance to members of governing bodies, policy councils, and, as appropriate, policy committees, to ensure that the members can fulfill their functions;

(xiv) provide activities that help ensure that Head Start programs have qualified staff who can promote prevention of childhood obesity by integrating developmentally appropriate research-based initiatives that stress the importance of physical activity and healthy, nutritional choices in daily classroom and family routines;

(xv) assist Indian Head Start agencies to provide on-site and off-site training to staff, using approaches that identify and enhance the positive resources and strengths of Indian children and families, to improve parent and family engagement and staff development, particularly with regard to child and family development; and

(xvi) assisting Head Start agencies in selecting and using the measures described in section 641A(b).

(b) Additional Support- The Secretary shall provide, either directly or through grants, contracts or other arrangements, funds from section 640(a)(2)(C)(i)(II)(cc) to—

(1) support an organization to administer a centralized child development and national assessment program leading to recognized credentials for personnel working in early childhood education and development programs; and

(2) support training for personnel—

(A) providing services to **limited English proficient children and their families** (including services to promote the acquisition of the English language);

(B) **providing services to children determined to be abused or neglected or children referred by or receiving child welfare services;**

(C) in helping children cope with community violence;

(D) **to recognize common health, including mental health, problems in children for appropriate referral;**

(E) to address the needs of children with disabilities **and their families;**

(F) **to address the needs of migrant and seasonal farmworker families; and**

(G) **to address the needs of homeless families.**

(c) **Outreach-** The Secretary shall develop and implement a program of outreach to recruit and train professionals from diverse backgrounds to become Head Start teachers in order to reflect the communities in which Head Start children live and to increase the provision of quality services and instruction to children with diverse backgrounds.

(d) **Funds to Agencies-** Funds made available under section 640(a)(2)(C)(i)(II)(aa) shall be used by a Head Start agency to provide high-quality, sustained, and intensive training and technical assistance as follows:

(1) **For 1 or more of the following:**

(A) **Activities that ensure that Head Start programs meet or exceed the standards described in section 641A(a)(1).**

(B) **Activities that ensure that Head Start programs have adequate numbers of trained, qualified staff who have skills in working with children and families, including children and families who are limited English proficient and children with disabilities and their families.**

(C) **Activities to improve the management and implementation of Head Start services and systems, including direct training for expert consultants working with staff.**

(D) Activities that help ensure that Head Start programs have qualified staff who can promote language skills and literacy growth of children and who can provide children with a variety of skills that have been identified as predictive of later reading achievement, school success, and the skills, knowledge, abilities, development, and progress described in section 641A(a)(1)(B)(ii).

(E) Activities to improve staff qualifications and to assist with the implementation of career development programs and to encourage the staff to continually improve their skills and expertise, including developing partnerships with programs that recruit, train, place, and support college students in Head Start centers to deliver an innovative early learning program to preschool children.

(F) Activities that help local programs ensure that the arrangement, condition, and implementation of the learning environments in Head Start programs are conducive to providing effective program services to children and families.

(G) Activities to provide training necessary to improve the qualifications of Head Start staff and to support staff training, child counseling, health services, and other services necessary to address the needs of children enrolled in Head Start programs, including children from families in crises, children who experience chronic violence or homelessness, children who experience substance abuse in their families, and children under 3 years of age, where applicable.

(H) Activities to provide classes or in-service-type programs to improve or enhance parenting skills, job skills, and adult and family literacy, including financial literacy, or training to become a classroom aide or bus driver in a Head Start program.

(I) Additional activities deemed appropriate to the improvement of Head Start programs, as determined by the technical assistance and training plans of the Head Start agencies.

(2) To support enhanced early language and literacy development of children in Head Start programs, and to provide the children with high-quality oral language skills and with environments that are rich in literature in which to acquire language and early literacy skills. Each Head Start agency, in consultation with the State-based training and technical assistance system, as appropriate, shall ensure that--

(A) all of the agency's Head Start teachers receive ongoing training in language and emergent literacy (referred to in this subsection as literacy training'), including appropriate curricula and assessment to improve instruction and learning;

(B) such literacy training shall include training in methods to promote vocabulary development and phonological awareness (including phonemic awareness) in a developmentally, culturally, and linguistically appropriate manner and support children's development in their native language;

(C) the literacy training shall include training in how to work with parents to enhance positive language and early literacy development at home;

(D) the literacy training shall include specific methods to best address the needs of children who are limited English proficient;

(E) the literacy training shall include training on how to best address the language and literacy needs of children with disabilities, including training on how to work with specialists in language development; and

(F) the literacy training shall be tailored to the early childhood literacy background and experience of the teachers involved;

except that funds made available under section 640(a)(2)(C)(i) shall not be used for long-distance travel expenses for training activities available locally or regionally or for training activities substantially similar to locally or regionally available training activities.

(e) State-Based Training and Technical Assistance System- For the purposes of delivering a State-based training and technical assistance system (which may include a consortium of 2 or more States within a region) or a national system in the case of migrant or seasonal Head Start and Indian Head Start programs, as described in section 640(a)(2)(C)(i)(II)(bb), that will meet the needs of local grantees, as determined by such grantees, and provide high-quality, sustained, and intensive training and technical assistance to Head Start agencies and programs in order to improve their capacity to deliver services that meet or exceed the standards described in section 641A(a)(1), the Secretary shall--

(1) enter into contracts in each State with 1 or more entities that have a demonstrated expertise in supporting the delivery of high-quality early childhood education and development programs, except that contracts for a consortium of 2 or more States within a geographic

region may be entered into if such a system is more appropriate to better meet the needs of local grantees within a region, as determined by such grantees;

(2) ensure that the entities described in subparagraph (1) determine the types of services to be provided through consultation with--

(A) local Head Start agencies (including Indian Head Start agencies and migrant or seasonal Head Start agencies, as appropriate);

(B) the State Head Start collaboration office; and

(C) the State Head Start Association;

(3) encourage States to supplement the funds authorized in section 640(a)(2)(C)(i)(II)(bb) with Federal, State, or local funds other than funds made available under this subchapter, to expand training and technical assistance activities beyond Head Start agencies to include other providers of other early childhood education and development programs within a State;

(4) provide a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate, not later than 90 days after the end of the fiscal year, summarizing the funding for such contracts and the activities carried out thereunder;

(5) periodically evaluate the effectiveness of the delivery of services in each State in promoting program quality; and

(6) ensure that in entering into such contracts as described in paragraph (1), such entities will address the needs of grantees in both urban and rural communities.

(f) **Indoor Air Quality-** The Secretary shall consult with appropriate Federal agencies and other experts, as appropriate, on issues of air quality related to children's health and inform Head Start agencies of existing programs or combination of programs that provide methods for improving indoor air quality.

(g) **Career Advancement Partnership Program-**

(1) **AUTHORITY-** From amounts allocated under section 640(a)(2)(C) the Secretary is authorized to award demonstration grants, for a period of not less than 5 years, to historically Black colleges and universities, Hispanic-serving institutions, and Tribal Colleges and Universities--

(A) to implement education programs that increase the number of associate, baccalaureate, and graduate degrees in early childhood education and related fields that are earned by Head Start agency staff members, parents of children served by such agencies, and members of the communities involved;

(B) to provide assistance for stipends and costs related to tuition, fees, and books for enrolling Head Start agency staff members, parents of children served by such an agency, and members of the communities involved in courses required to complete the degree and certification requirement to become teachers in early childhood education and related fields;

(C) to develop program curricula to promote high-quality services and instruction to children with diverse backgrounds, including--

(i) in the case of historically Black colleges and universities, to help Head Start Agency staff members develop skills and expertise needed to teach in programs serving large numbers of African American children;

(ii) in the case of Hispanic-serving institutions, programs to help Head Start Agency staff members develop skills and expertise needed to teach in programs serving large numbers of Hispanic children, including programs to develop the linguistic skills and expertise needed to teach in programs serving a large number of children with limited English proficiency; and

(iii) in the case of Tribal Colleges and Universities, to help Head Start Agency staff members develop skills and expertise needed to teach in programs serving large numbers of Indian children, including programs concerning tribal culture and language;

(D) to provide other activities to upgrade the skills and qualifications of educational personnel to meet the professional standards in subsection (a) to better promote high-quality services and instruction to children and parents from populations served by historically Black colleges and universities, Hispanic-serving institutions, or Tribal Colleges and Universities;

(E) to provide technology literacy programs for Indian Head Start agency staff members and families of children served by such agency; and

(F) to develop and implement the programs described under subparagraph (A) in technology-mediated formats, including through such means as distance learning and use of advanced technology, as appropriate.

(2) OTHER ASSISTANCE- The Secretary shall, using resources within the Department of Health and Human Services--

(A) provide appropriate technical assistance to historically Black colleges and universities, Hispanic-serving institutions, and Tribal Colleges and Universities receiving grants under this section, including coordinating with the White House Initiative on historically Black colleges and universities; and

(B) ensure that the American Indian Programs Branch of the Office of Head Start of the Administration for Children and Families of the Department of Health and Human Services can effectively administer the programs under this section and provide appropriate technical assistance to Tribal Colleges and Universities under this section.

(3) APPLICATION- Each historically Black college or university, Hispanic-serving institution, or Tribal College or University desiring a grant under this section shall submit an application, in partnership with at least 1 Head Start agency enrolling large numbers of students from the populations served by historically Black colleges and universities, Hispanic-serving institutions, or Tribal Colleges and Universities, to the Secretary, at such time, in such manner, and containing such information as the Secretary may require, including a certification that the institution of higher education has established a formal partnership with 1 or more Head Start agencies for the purposes of conducting the activities described in paragraph (1).

(4) DEFINITIONS- In this subsection:

(A) The term “Hispanic-serving institution” has the meaning given such term in section 502 of the Higher Education Act of 1965 (20 U.S.C. 1101a).

(B) The term “historically Black college or university” has the meaning given the term part B institution' in section 322(2) of the Higher Education Act of 1965 (20 U.S.C. 1061(2)).

(C) The term “Tribal College or University” has the meaning given such term in section 316(b) of the Higher Education Act of 1965 (20 U.S.C. 1059c(b)).

(5) TEACHING REQUIREMENT- A student at an institution receiving a grant under this subsection who receives assistance under a program funded under this subsection shall teach in a center-based Head Start program for a period of time equivalent to the period for which they received assistance or shall repay such assistance.

Sec. 648A. **STAFF QUALIFICATIONS AND DEVELOPMENT**

[42 U.S.C. 9843a]

(a) Classroom Teachers-

(1) **PROFESSIONAL REQUIREMENTS-** The Secretary shall ensure that each Head Start classroom in a center-based program is assigned 1 teacher who has demonstrated competency to perform functions that include--

(A) planning and implementing learning experiences that advance the intellectual and physical development of children, including improving the readiness of children for school by developing their literacy, phonemic, and print awareness, their understanding and use of language, their understanding and use of increasingly complex and varied vocabulary, their appreciation of books, **their understanding of early math and early science**, their problem-solving abilities, **and their approaches to learning;**

(B) establishing and maintaining a safe, healthy learning environment;

(C) supporting the social and emotional development of children; and

(D) encouraging the involvement of the families of the children in a Head Start program and supporting the development of relationships between children and their families.

(2) **DEGREE REQUIREMENTS-**

(A) **HEAD START TEACHERS-** The Secretary shall ensure that not later than September 30, **2013**, at least 50 percent of Head Start teachers nationwide in center-based programs have—

(i) a baccalaureate or advanced degree in early childhood education; or

(ii) a baccalaureate or advanced degree **and coursework equivalent to a major relating to early childhood education**, with experience teaching preschool-age children.

(B) ADDITIONAL STAFF- The Secretary shall ensure that, not later than September 30, 2013, all--

(i) Head Start education coordinators, including those that serve as curriculum specialists, nationwide in center-based programs--

(I) have the capacity to offer assistance to other teachers in the implementation and adaptation of curricula to the group and individual needs of children in a Head Start classroom; and

(II) have--

(aa) a baccalaureate or advanced degree in early childhood education; or

(bb) a baccalaureate or advanced degree and coursework equivalent to a major relating to early childhood education, with experience teaching preschool-age children; and

(ii) Head Start teaching assistants nationwide in center-based programs have--

(I) at least a child development associate credential;

(II) enrolled in a program leading to an associate or baccalaureate degree; or

(III) enrolled in a child development associate credential program to be completed within 2 years.

(C) PROGRESS-

(i) IMPLEMENTATION- The Secretary shall—

(I) require Head Start agencies to--

(aa) describe continuing progress each year toward achieving the goals described in subparagraphs (A) and (B); and

(bb) annually submit to the Secretary a report indicating the number and

percentage of classroom personnel described in subparagraphs (A) and (B) in center-based programs with child development associate credentials or associate, baccalaureate, or advanced degrees;

(II) compile and submit a summary of all program reports described in subclause (I)(bb) to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate; and

(III) not impose any penalties or sanctions on any individual Head Start agency, program, or staff in the monitoring of local agencies and programs under this subchapter not meeting the requirements of subparagraph (A) or (B).

(D) CONSTRUCTION- In this paragraph a reference to a Head Start agency, or its program, services, facility, or personnel, shall not be considered to be a reference to an Early Head Start agency, or its program, services, facility, or personnel.

(3) ALTERNATIVE CREDENTIALING AND DEGREE

REQUIREMENTS- The Secretary shall ensure that, for center-based programs, each Head Start classroom that does not have a teacher who meets the qualifications described in clause (i) or (ii) of paragraph (2)(A) is assigned one teacher who has **the following during the period specified:**

(A) Through September 30, 2011--

(i) a child development associate credential that is appropriate to the age of children being served in center-based programs;

(ii) a State-awarded certificate for preschool teachers that meets or exceeds the requirements for a child development associate credential;

(iii) an associate degree in early childhood education;

(iv) an associate degree in a related field and coursework equivalent to a major relating to early

childhood education, with experience teaching preschool-age children; or

(v) a baccalaureate degree and has been admitted into the Teach For America program, passed a rigorous early childhood content exam, such as the Praxis II, participated in a Teach For America summer training institute that includes teaching preschool children, and is receiving ongoing professional development and support from Teach For America's professional staff.

(B) As of October 1, 2011--

(i) an associate degree in early childhood education;

(ii) an associate degree in a related field and coursework equivalent to a major relating to early childhood education, with experience teaching preschool-age children; or

(iii) a baccalaureate degree and has been admitted into the Teach For America program, passed a rigorous early childhood content exam, such as the Praxis II, participated in a Teach For America summer training institute that includes teaching preschool children, and is receiving ongoing professional development and support from Teach For America's professional staff.

(4) WAIVER- On request, the Secretary shall grant—

(A) through September 30, 2011, a 180-day waiver ending on or before September 30, 2011, of the requirements of paragraph (3)(A) for a Head Start agency that can demonstrate that the agency has attempted unsuccessfully to recruit an individual who has the qualifications described in any of clauses (i) through (iv) of paragraph (3)(A) with respect to an individual who--

(i) is enrolled in a program that grants a credential, certificate, or degree described in clauses (i) through (iv) of paragraph (3)(A); and

(ii) will receive such credential, certificate, or degree under the terms of such program not later than 180 days after beginning employment as a teacher with such agency; and

(B) as of October 1, 2011, a 3-year waiver of the requirements of paragraph (3)(B) for a Head Start agency that can demonstrate that--

(i) the agency has attempted unsuccessfully to recruit an individual who has the qualifications described in clause (i) or (ii) of such paragraph, with respect to an individual who is enrolled in a program that grants a degree described in clause (i) or (ii) of such paragraph and will receive such degree in a reasonable time; and

(ii) each Head Start classroom has a teacher who has, at a minimum--

(I) a child development associate credential that is appropriate to the age of children being served in center-based programs; or

(II) a State-awarded certificate for preschool teachers that meets or exceeds the requirements for a child development associate credential.

(5) TEACHER IN-SERVICE REQUIREMENT- Each Head Start teacher shall attend not less than 15 clock hours of professional development per year. Such professional development shall be high-quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom, and regularly evaluated by the program for effectiveness.

(6) SERVICE REQUIREMENTS- The Secretary shall establish requirements to ensure that, in order to enable Head Start agencies to comply with the requirements of paragraph (2)(A), individuals who receive financial assistance under this subchapter to pursue a degree described in paragraph (2)(A) shall--

(A) teach or work in a Head Start program for a minimum of 3 years after receiving the degree; or

(B) repay the total or a prorated amount of the financial assistance received based on the length of service completed after receiving the degree.

(7) USE OF FUNDS- The Secretary shall require that any Federal funds provided directly or indirectly to comply with paragraph (2)(A) shall be used toward degrees awarded by an institution of higher education, as defined by section 101 or 102 of the Higher Education Act of 1965 (20 U.S.C. 1001, 1002).

(b) MENTOR TEACHERS.--

(1) DEFINITION; FUNCTION.--For purposes of this subsection, the term "mentor teacher" means an individual responsible for observing and assessing the classroom activities of a Head Start program and providing on-the-job guidance and training to the Head Start program staff and volunteers, in order to improve the qualifications and training of classroom staff, to maintain high quality education services, and to promote career development, in Head Start programs.

(2) REQUIREMENT.--In order to assist Head Start agencies in establishing positions for mentor teachers, the Secretary shall--

(A) provide technical assistance and training to enable Head Start agencies to establish such positions;

(B) give priority consideration, in providing assistance pursuant to subparagraph (A), to Head Start programs that have substantial numbers of new classroom staff or that are experiencing difficulty in meeting applicable education standards;

(C) encourage Head Start programs to give priority consideration for such positions to Head Start teachers at the appropriate level of career advancement in such programs; and

(D) promote the development of model curricula, designed to ensure the attainment of appropriate competencies of mentor teachers in Head Start programs.

(c) Family Service Workers- To improve the quality and effectiveness of staff providing in-home and other services (including needs assessment, development of service plans, family advocacy, and coordination of service delivery) to families of children participating in Head Start programs, the Secretary, in coordination with concerned public and private agencies and organizations examining the issues of standards and training for family service workers, shall--

(1) review and, as necessary, revise or develop new qualification standards for Head Start staff providing such services;

(2) review, and as necessary, revise or develop maximum caseload requirements, as suggested by best practices;

(3) promote the development of model curricula (on subjects including parenting training and family literacy) designed to ensure the attainment of appropriate competencies by individuals working or planning to work in the field of early childhood and family services;

(4) promote the establishment of a credential that indicates attainment of the competencies and that is accepted nationwide; and

(5) promote the use of appropriate strategies to meet the needs of special populations (including populations of limited English proficient children).

(d) HEAD START FELLOWSHIPS.--

(1) AUTHORITY.--The Secretary may establish a program of fellowships, to be known as Head Start Fellowships', in accordance with this subsection. The Secretary may award the fellowships to individuals, to be known as Head Start Fellows', who are staff in local Head Start programs or other individuals working in the field of child development and family services.

(2) PURPOSE.--The fellowship program established under this subsection shall be designed to enhance the ability of Head Start Fellows to make significant contributions to programs authorized under this subchapter, by providing opportunities to expand their knowledge and experience through exposure to activities, issues, resources, and new approaches, in the field of child development and family services.

(3) ASSIGNMENTS OF FELLOWS.--

(A) PLACEMENT SITES.--Fellowship positions under the fellowship program may be located (subject to subparagraphs (B) and (C))--

(i) in agencies of the Department of Health and Human Services administering programs authorized under this subchapter (in national or regional offices of such agencies);

(ii) in local Head Start agencies and programs;

(iii) in institutions of higher education;

(iv) in public or private entities and organizations concerned with services to children and families; and

(v) in other appropriate settings.

(B) LIMITATION FOR FELLOWS OTHER THAN HEAD START EMPLOYEES.--A Head Start Fellow who is not an employee of a local Head Start agency or program may be placed only in a fellowship position located in an agency or program specified in clause (i) or (ii) of subparagraph (A).

(C) NO PLACEMENT IN LOBBYING ORGANIZATIONS.--Head Start Fellowship positions may not be located in any agency (**including a center**) whose primary purpose, or one of whose major purposes, is to influence Federal, State, or local legislation.

(4) SELECTION OF FELLOWS.--Head Start Fellowships shall be awarded on a competitive basis to individuals (other than Federal employees) selected from among applicants who are working, on the date of application, in local Head Start programs or otherwise working in the field of child development and children and family services.

(5) DURATION.--Head Start Fellowships shall be for terms of 1 year, and may be renewed for a term of 1 additional year.

(6) AUTHORIZED EXPENDITURES.--From **amounts made available under section 640(a)(2)(E)**, the Secretary is authorized to make expenditures of not to exceed \$1,000,000 for any fiscal year, for stipends and other reasonable expenses of the fellowship program.

(7) STATUS OF FELLOWS.--Except as otherwise provided in this paragraph, Head Start Fellows shall not be considered to be employees or otherwise in the service or employment of the Federal Government. Head Start Fellows shall be considered to be employees for purposes of compensation for injuries under chapter 81 of title 5, United States Code. Head Start Fellows assigned to positions located in agencies specified in paragraph (3)(A)(i) shall be considered employees in the executive branch of the Federal Government for the purposes of chapter 11 of title 18, United States Code, and for purposes of any administrative standards of conduct applicable to the employees of the agency to which they are assigned.

(8) REGULATIONS.--The Secretary shall promulgate regulations to carry out this subsection.

(e) MODEL STAFFING PLANS.--Not later than 1 year after the date of enactment of this subsection, the Secretary, in consultation with appropriate public agencies, private agencies, and organizations and with individuals with expertise in the field of children and family services, shall develop model staffing plans to provide guidance to local Head Start agencies and programs on the numbers, types, responsibilities, and qualifications of staff required to operate a Head Start program.

(f) Professional Development Plans- Each Head Start agency and program shall create, in consultation with an employee, a professional development plan for all full-time Head Start employees who provide direct services to children and shall ensure that such plans are regularly evaluated for their impact on teacher and staff effectiveness. The agency and the employee shall implement the plan to the extent feasible and practicable.

(g) Staff Recruitment and Selection Procedures- Before a Head Start agency employs an individual, such agency shall--

(1) conduct an interview of such individual;

(2) verify the personal and employment references provided by such individual; and

(3) obtain--

(A) a State, tribal, or Federal criminal record check covering all jurisdictions where the grantee provides Head Start services to children;

(B) a State, tribal, or Federal criminal record check as required by the law of the jurisdiction where the grantee provides Head Start services; or

(C) a criminal record check as otherwise required by Federal law.

Sec. 649. RESEARCH, DEMONSTRATIONS, AND EVALUATION

[42 U.S.C. 9844]

(a) IN GENERAL.--

(1) REQUIREMENT; GENERAL PURPOSES.--The Secretary shall carry out a continuing program of research, demonstration, and evaluation activities, in order to--

(A) foster continuous improvement in the quality of the Head Start programs under this subchapter and in their effectiveness in enabling participating children and their families to succeed in school and otherwise; and

(B) use the Head Start programs to develop, test, and disseminate new ideas **based on existing scientifically valid research**, for addressing the needs of low-income preschool children (including children with disabilities, **homeless children, children who have been abused or neglected, and children in foster care**) and their families and communities (including demonstrations of innovative non-center-based program models such as home-based and mobile programs), and otherwise to further the purposes of this subchapter.

(2) PLAN.--The Secretary shall develop, and periodically update, a plan governing the research, demonstration, and evaluation activities under this section.

(b) CONDUCT OF RESEARCH, DEMONSTRATION, AND EVALUATION ACTIVITIES.--The Secretary, in order to conduct research, demonstration, and evaluation activities under this section--

(1) may carry out such activities directly, or through grants to, or contracts or cooperative agreements with, public or private entities;

(2) shall, to the extent appropriate, undertake such activities in collaboration with other Federal agencies, and with non-Federal agencies, conducting similar activities;

(3) shall ensure that evaluation of activities in a specific program or project is conducted by persons not directly involved in the operation of such program or project;

(4) may require Head Start agencies to provide for independent evaluations;

(5) may approve, in appropriate cases, community-based cooperative research and evaluation efforts to enable Head Start programs to collaborate with qualified researchers not directly involved in program administration or operation; and

(6) may collaborate with organizations with expertise in inclusive educational strategies for preschoolers with disabilities.

(c) CONSULTATION AND COLLABORATION.--In carrying out activities under this section, the Secretary shall--

(1) consult with--

(A) individuals from relevant academic disciplines;

(B) individuals who are involved in the operation of Head Start programs and individuals who are involved in the operation of other child and family service programs; and

(C) individuals from other Federal agencies, and individuals from organizations, involved with children and families, ensuring that the individuals described in this subparagraph reflect the multicultural nature of the children and families served by the Head Start programs and the multidisciplinary nature of the Head Start programs;

(2) whenever feasible and appropriate, obtain the views of persons participating in and served by programs and projects assisted under this subchapter with respect to activities under this section; and

(3) establish, to the extent appropriate, working relationships with the faculties of institutions of higher education, as defined in section 1201(a) of the Higher Education Act of 1965 (20 U.S.C. 1141(a)), located in the area in which any evaluation under this section is being conducted, unless there is no such institution of higher education willing and able to participate in such evaluation.

(d) SPECIFIC OBJECTIVES.--The research, demonstration, and evaluation activities under this subchapter shall include components designed to--

- (1) permit ongoing assessment of the quality and effectiveness of the programs under this subchapter;
- (2) establish evaluation methods that measure the effectiveness and impact of family literacy services program models, including models for the integration of family literacy services with Head Start services;
- (3) contribute to developing knowledge concerning factors associated with the quality and effectiveness of Head Start programs and in identifying ways in which services provided under this subchapter may be improved;
- (4) assist in developing knowledge concerning the factors that promote or inhibit healthy development and effective functioning of children and their families both during and following participation in a Head Start program;
- (5)(A) identify successful strategies that promote good oral health and provide effective linkages to quality dental services through pediatric dental referral networks, for infants and toddlers participating in Early Head Start programs and children participating in other Head Start programs; and**
 - (B) identify successful strategies that promote good vision health through vision screenings for such infants, toddlers, and children, and referrals for appropriate followup care for those identified as having a vision problem;**
- (6) permit comparisons of children and families participating in Head Start programs with children and families receiving other child care, early childhood education, or child development services and with other appropriate control groups;
- (7) contribute to understanding the characteristics and needs of population groups eligible for services provided under this subchapter and the impact of such services on the individuals served and the communities in which such services are provided;
- (8) provide for disseminating and promoting the use of the findings from such research, demonstration, and evaluation activities;
- (9) promote exploration of areas in which knowledge is insufficient, and that will otherwise contribute to fulfilling the purposes of this subchapter; **and**
- (10)(A) contribute to understanding the impact of Head Start services delivered in classrooms which include both children with disabilities and children without disabilities, on all of the children; and**
 - (B) disseminate promising practices for increasing the availability and quality of such services and such classrooms.**

(e) LONGITUDINAL STUDIES.--In developing priorities for research, demonstration, and evaluation activities under this section, the Secretary shall give special consideration to longitudinal studies that--

- (1) examine the developmental progress of children and their families both during and following participation in a Head Start program, including the examination of factors that contribute to or detract from such progress;
- (2) examine factors related to improving the quality of the Head Start programs and the preparation the programs provide for children and their families to function effectively in schools and other settings in the years following participation in such a program; and
- (3) as appropriate, permit comparison of children and families participating in Head Start programs with children and families receiving other **early childhood education and development services or programs**, and with other appropriate control groups.

(f) OWNERSHIP OF RESULTS.--The Secretary shall take necessary steps to ensure that all studies, reports, proposals, and data produced or developed with Federal funds under this subchapter shall become the property of the United States.

(g) NATIONAL HEAD START IMPACT RESEARCH.—

(1) EXPERT PANEL.--

(A) IN GENERAL.--The Secretary shall appoint an independent panel consisting of experts in program evaluation and research, education, and early childhood programs--

(i) to review, and make recommendations on, the design and plan for the research (whether conducted as a single assessment or as a series of assessments) described in paragraph (2), within 1 year after the date of enactment of the Coats Human Services Reauthorization Act of 1998;

(ii) to maintain and advise the Secretary regarding the progress of the research; and

(iii) to comment, if the panel so desires, on the interim and final research reports submitted under paragraph (7).

(B) TRAVEL EXPENSES.--The members of the panel shall not receive compensation for the performance of services for the panel, but shall be allowed travel expenses, including per diem in lieu of subsistence, at rates authorized for employees of agencies under subchapter I of chapter 57 of title 5, United States Code, while away from their homes or regular places of business in the performance of services for the panel. Notwithstanding

section 1342 of title 31, United States Code, the Secretary may accept the voluntary and uncompensated services of members of the panel.

(2) GENERAL AUTHORITY.--After reviewing the recommendations of the expert panel, the Secretary shall make a grant to, or enter into a contract or cooperative agreement with an organization to conduct independent research that provides a national analysis of the impact of Head Start programs. The Secretary shall ensure that the organization shall have expertise in program evaluation, and research, education, and early childhood programs.

(3) DESIGNS AND TECHNIQUES.--The Secretary shall ensure that the research uses rigorous methodological designs and techniques (based on the recommendations of the expert panel), including longitudinal designs, control groups, nationally recognized standardized measures, and random selection and assignment, as appropriate. The Secretary may provide that the research shall be conducted as a single comprehensive assessment or as a group of coordinated assessments designed to provide, when taken together, a national analysis of the impact of Head Start programs.

(4) PROGRAMS.--The Secretary shall ensure that the research focuses primarily on Head Start programs that operate in the 50 States, the Commonwealth of Puerto Rico, or the District of Columbia and that do not specifically target special populations.

(5) ANALYSIS.--The Secretary shall ensure that the organization conducting the research--

(A)(i) determines if, overall, the Head Start programs have impacts consistent with their primary goal of increasing the social competence of children, by increasing the everyday effectiveness of the children in dealing with their present environments and future responsibilities, and increasing their school readiness;

(ii) considers whether the Head Start programs--

(I) enhance the growth and development of children in cognitive, emotional, and physical health areas;

(II) strengthen families as the primary nurturers of their children; and

(III) ensure that children attain school readiness; and

(iii) examines--

(I) the impact of the Head Start programs on increasing access of children to such services as educational, health,

and nutritional services, and linking children and families to needed community services; and

(II) how receipt of services described in subclause (I) enriches the lives of children and families participating in Head Start programs;

(B) examines the impact of Head Start programs on participants on the date the participants leave Head Start programs, at the end of kindergarten and at the end of first grade (whether in public or private school), by examining a variety of factors, including educational achievement, referrals for special education or remedial course work, and absenteeism;

(C) makes use of random selection from the population of all Head Start programs described in paragraph (4) in selecting programs for inclusion in the research; and

(D) includes comparisons of individuals who participate in Head Start programs with control groups (including comparison groups) composed of--

(i) individuals who participate in other early childhood programs (such as public or private preschool programs and day care); and

(ii) individuals who do not participate in any other early childhood program.

(6) CONSIDERATION OF SOURCES OF VARIATION.--In designing the research, the Secretary shall, to the extent practicable, consider addressing possible sources of variation in impact of Head Start programs, including variations in impact related to such factors as--

(A) Head Start program operations;

(B) Head Start program quality;

(C) the length of time a child attends a Head Start program;

(D) the age of the child on entering the Head Start program;

(E) the type of organization (such as a local educational agency or a community action agency) providing services for the Head Start program;

(F) the number of hours and days of program operation of the Head Start program (such as whether the program is a full-working-day, full calendar year program, a part-day program, or a part-year program); and

(G) other characteristics and features of the Head Start program (such as geographic location, location in an urban or a rural service area, or participant characteristics), as appropriate.

(7) REPORTS

(A) SUBMISSION OF INTERIM REPORTS.--The organization shall prepare and submit to the Secretary two interim reports on the research. The first interim report shall describe the design of the research, and the rationale for the design, including a description of how potential sources of variation in impact of Head Start programs have been considered in designing the research. The second interim report shall describe the status of the research and preliminary findings of the research, as appropriate.

(B) SUBMISSION OF FINAL REPORT.--The organization shall prepare and submit to the Secretary a final report containing the findings of the research.

(C) TRANSMITTAL OF REPORT TO CONGRESS- **Not later than September 30, 2009, the Secretary shall transmit the final report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.**

(8) DEFINITION.--In this subsection, the term 'impact', used with respect to a Head Start program, means a difference in an outcome for a participant in the program that would not have occurred without the participation in the program.

(h) Limited English Proficient Children-

(1) STUDY- Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall conduct a study on the status of limited English proficient children and their families participating in Head Start programs (including Early Head Start programs).

(2) REPORT- The Secretary shall prepare and submit to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate, not later than September 30, 2010, a report containing the results of the study, including information on--

(A) the demographics of limited English proficient children from birth through age 5, including the number of such children receiving Head Start services and Early Head Start services, and the geographic distribution of children described in this subparagraph;

(B) the nature of the Head Start services and of the Early Head Start services provided to limited English proficient children and their families, including the types, content, duration, intensity, and costs of family services, language assistance, and educational services;

(C) procedures in Head Start programs and Early Head Start programs for the assessment of language needs and the transition of limited English proficient children to kindergarten, including the extent to which such programs meet the requirements of section 642A for limited English proficient children;

(D) the qualifications and training provided to Head Start teachers and Early Head Start teachers who serve limited English proficient children and their families;

(E) the languages in which Head Start teachers and Early Head Start teachers are fluent, in relation to the population, and instructional needs, of the children served;

(F) the rate of progress made by limited English proficient children and their families in Head Start programs and in Early Head Start programs, including--

(i) the rate of progress made by limited English proficient children toward meeting the additional educational standards described in section 641A(a)(1)(B)(ii) while enrolled in such programs;

(ii) a description of the type of assessment or assessments used to determine the rate of progress made by limited English proficient children;

(iii) the correlation between such progress and the type and quality of instruction and educational programs provided to limited English proficient children; and

(iv) the correlation between such progress and the health and family services provided by such programs to limited English proficient children and their families; and

(G) the extent to which Head Start programs and Early Head Start programs make use of funds under section 640(a)(2)(D) to improve the quality of such services provided to limited English proficient children and their families.

(i) Research and Evaluation Activities Relevant to Diverse Communities- For purposes of conducting the study described in subsection (h), activities described in section 640(l)(5)(A),

and other research and evaluation activities relevant to limited English proficient children and their families, migrant and seasonal farmworker families, and other families from diverse populations served by Head Start programs, the Secretary shall award, on a competitive basis, funds from amounts made available under section 640(a)(2)(D) to 1 or more organizations with a demonstrated capacity for serving and studying the populations involved.

(j) Review of Assessments-

(1) APPLICATION OF STUDY- When the study on Developmental Outcomes and Assessments for Young Children by the National Academy of Sciences is made available to the Secretary, the Secretary shall--

(A) integrate the results of the study, as appropriate and in accordance with paragraphs (2) and (3), into each assessment used in Head Start programs; and

(B) use the results of the study to develop, inform, and revise as appropriate the standards and measures described in section 641A, consistent with section 641A(a)(2)(C)(ii).

(2) INFORM AND REVISE- In informing and revising any assessment used in the Head Start programs, the Secretary shall--

(A) receive recommendations from the Panel on Developmental Outcomes and Assessments for Young Children of the National Academy of Sciences; and

(B) with respect to the development or refinement of such assessment, ensure--

(i) consistency with relevant, nationally recognized professional and technical standards;

(ii) validity and reliability for all purposes for which assessments under this subchapter are designed and used;

(iii) developmental and linguistic appropriateness of such assessments for children assessed, including children who are limited English proficient; and

(iv) that the results can be used to improve the quality of, accountability of, and training and technical assistance in, Head Start programs.

(3) ADDITIONAL REQUIREMENTS- The Secretary, in carrying out the process described in paragraph (2), shall ensure that—

(A) staff administering any assessments under this subchapter have received appropriate training to administer such assessments;

(B) appropriate accommodations for children with disabilities and children who are limited English proficient are made;

(C) the English and Spanish (and any other language, as appropriate) forms of such assessments are valid and reliable in the languages in which they are administered; and

(D) such assessments are not used to exclude children from Head Start programs.

(4) SUSPENDED IMPLEMENTATION OF NATIONAL REPORTING SYSTEM- The Secretary shall suspend implementation and terminate further development and use of the National Reporting System.

(k) Indian Head Start Study- The Secretary shall--

(1) work in collaboration with the Head Start agencies that carry out Indian Head Start programs, the Indian Head Start collaboration director, and other appropriate entities, including tribal governments and the National Indian Head Start Directors Association--

(A) to undertake a study or set of studies designed to focus on the American Indian and Alaska Native Head Start-eligible population, with a focus on issues such as curriculum development, availability and need for services, appropriate research methodologies and measures for these populations, and best practices for teaching and educating American Indian and Alaska Native Head Start Children;

(B) to accurately determine the number of children nationwide who are eligible to participate in Indian Head Start programs each year;

(C) to document how many of these children are receiving Head Start services each year;

(D) to the extent practicable, to ensure that access to Indian Head Start programs for eligible children is comparable to access to other Head Start programs for other eligible children; and

(E) to make the funding decisions required in section 640(a)(4)(D)(ii), after completion of the studies required in that section, taking into account:

(i) the Federal government's unique trust responsibility to American Indians and Alaska Natives;

(ii) limitations faced by tribal communities in accessing non-Federal sources of funding to supplement Federal funding for early childhood programs; and

(iii) other factors that uniquely and adversely impact children in American Indian and Alaska Native communities such as highly elevated poverty, unemployment and violent crime rates, as well as depressed levels of educational achievement and limited access to non-Federal health, social and educational resources;

(2) in carrying out paragraph (1), consult with the Secretary of Education about the Department of Education's systems for collecting and reporting data about, and maintaining records on, American Indian and Alaska Native students;

(3) not later than 9 months after the effective date of this subsection, publish in the Federal Register a notice of how the Secretary plans to carry out paragraph (1) and shall provide a period for public comment. To the extent practicable, the Secretary shall consider comments received before submitting a report to the Congress;

(4) not later than 1 year after the effective date of this subsection, submit a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate, detailing how the Department of Health and Human Services plans to carry out paragraph (1);

(5) through regulation, ensure the confidentiality of any personally identifiable data, information, and records collected or maintained by the Secretary, by Head Start agencies that carry out Indian Head Start programs, and by State Directors of Head Start Collaboration, by the Indian Head Start Collaboration Project Director and by other appropriate entities pursuant to this subsection (such regulations shall provide the policies, protections, and rights equivalent to those provided a parent, student, or educational agency or institution under section 444 of the General Education Provisions Act.); and

(6) ensure that nothing in this subsection shall be construed to authorize the development of a nationwide database of personally identifiable information on individuals involved in studies or other collections of data under this subsection.

(I) Migrant and Seasonal Head Start Program Study-

(1) DATA- In order to increase access to Head Start services for children of migrant and seasonal farmworkers, the Secretary shall work in collaboration with providers of migrant and seasonal Head Start programs, the Secretary of Agriculture, the Secretary of Labor, the Bureau of Migrant Health, and the Secretary of Education to--

(A) collect, report, and share data, within a coordinated system, on children of migrant and seasonal farmworkers and their families, including health records and educational documents of such children, in order to adequately account for the number of children of migrant and seasonal farmworkers who are eligible for Head Start services and determine how many of such children receive the services; and

(B) identify barriers that prevent children of migrant and seasonal farmworkers who are eligible for Head Start services from accessing Head Start services, and develop a plan for eliminating such barriers, including certain requirements relating to tracking, health records, and educational documents, and increasing enrollment.

(2) PUBLICATION OF PLAN- Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall publish in the Federal Register a notice about how the Secretary plans to implement the activities identified in paragraph (1) and shall provide a period for public comment. To the extent practicable, the Secretary shall consider comments received before implementing any of the activities identified in paragraph (1).

(3) REPORT- Not later than 18 months after the date of enactment of the Improving Head Start for School Readiness Act of 2007, and annually thereafter, the Secretary shall submit a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate detailing how the Secretary plans to implement the activities identified in paragraph (1), including the progress made in reaching out to and serving eligible children of migrant and seasonal farmworkers, and information on States where such children are still underserved.

(4) PROTECTION OF CONFIDENTIALITY- The Secretary shall, through regulation, ensure the protection of the confidentiality of any personally identifiable data, information, and records collected or maintained by the Secretary, by Head Start agencies that carry out migrant or seasonal Head Start programs, by the State director of Head Start Collaboration, and by the Migrant and Seasonal Farmworker Collaboration project Director (such regulations shall provide the policies, protections, and rights equivalent to those provided a parent, student, or educational agency or institution under section 444 of the General Education Provisions Act (20 U.S.C. 1232g)).

(5) RULE OF CONSTRUCTION- Nothing in this subsection shall be construed to authorize the development of a nationwide database of personally identifiable data, information, or records on individuals involved in studies or other collections of data under this subsection.

(m) Program Emergency Preparedness-

(1) PURPOSE- The purpose of this subsection is to evaluate the emergency preparedness of the Head Start programs, including Early Head Start programs, and make recommendations for how Head Start shall enhance its readiness to respond to an emergency.

(2) STUDY- The Secretary shall evaluate the Federal, State, and local preparedness of Head Start programs, including Early Head Start programs, to respond appropriately in the event of a large-scale emergency, such as the hurricanes Katrina, Rita, and Wilma, the terrorist attacks of September 11, 2001, or other incidents where assistance may be warranted under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.).

(3) REPORT TO CONGRESS- Not later than 18 months after the date of the enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall prepare and submit to Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate a report containing the results of the evaluation required under paragraph (2), including--

(A) recommendations for improvements to Federal, State, and local preparedness and response capabilities to large-scale emergencies, including those that were developed in response to hurricanes Katrina, Rita, and Wilma, as they relate to Head Start programs, including Early Head Start programs, and the Secretary's plan to implement such recommendations;

(B) an evaluation of the procedures for informing families of children in Head Start programs about the program protocols for response to a large-scale emergency, including procedures for communicating with such families in the event of a large-scale emergency;

(C) an evaluation of such procedures for staff training on State and local evacuation and emergency protocols; and

(D) an evaluation of procedures for Head Start agencies and the Secretary to coordinate with appropriate Federal, State, and local emergency management agencies in the event of a large scale emergency and recommendations to improve such procedures.

Sec. 650. **REPORTS**
[42 U.S.C. §9846]

(a) STATUS OF CHILDREN.--At least once during every 2-year period, the Secretary shall prepare and submit, to the Committee on **Education and Labor** of the House of Representatives and the Committee on **Health, Education, Labor, and Pensions** of the Senate, a report concerning the status of children (**including children with disabilities, limited English proficient children, homeless children, children in foster care, and children participating in Indian Head Start programs and migrant or seasonal Head Start programs**) in Head Start programs, including the number of children and the services being provided to such children. Such report shall include--

(1) a statement for the then most recently concluded fiscal year specifying--

(A) the amount of funds received by Head Start agencies designated under section 641 to provide Head Start services in a period before such fiscal year; and

(B) the amount of funds received by Head Start agencies newly designated under section 641 to provide such services in such fiscal year;

(2) a description of the distribution of Head Start services relative to the distribution of children who are eligible to participate in Head Start programs, including geographic distribution within States, **and information on the number of children served under this subsection, disaggregated by type of eligibility criterion;**

(3) a statement identifying how **funds made available under section 640(a)** were distributed and used at national, regional, and local levels;

(4) a statement specifying the amount of funds provided by the State, and by local sources, to carry out Head Start programs;

(5) cost per child and how such cost varies by region;

- (6) a description of the level and nature of participation of parents in Head Start programs as volunteers and in other capacities;
- (7) information concerning Head Start staff, including salaries, education, training, experience, and staff turnover;
- (8) information concerning children participating in programs that receive Head Start funding, including information on family income, racial and ethnic background, **homelessness, whether the child is in foster care or was referred by a child welfare agency**, disability, and receipt of benefits under part A of title IV of the Social Security Act;
- (9) the use and source of funds to extend Head Start services to operate full-day and year round;
- (10) using data from the monitoring conducted under section 641A(c)--
 - (A) a description of the extent to which programs funded under this subchapter comply with performance standards and regulations in effect under this subchapter;
 - (B) a description of the types and conditions of facilities in which such programs are located;
 - (C) the types of organizations that receive Head Start funds under such programs; and
 - (D) the number of children served under each program option;
- (11) the information contained in the documents entitled "Program Information Report" and "Head Start Cost Analyses System" (or any document similar to either), prepared with respect to Head Start programs;
- (12) a description of the types of services provided to children and their families, both on-site and through referrals, including health, mental health, dental care, **vision care**, parenting education, physical fitness, and literacy training;
- (13) a summary of information concerning the research, demonstration, and evaluation activities conducted under section 649, including--
 - (A) a status report on ongoing activities; and
 - (B) results, conclusions, and recommendations, not included in any previous report, based on completed activities; and
- (14) a study of the delivery of Head Start programs to Indian children living on and near Indian reservations, to children of Alaska Natives, and to children of migrant and seasonal farmworker **families**.

Promptly after submitting such report to the Committee on Education and **Labor** of the House of Representatives and the Committee on **Health, Education, Labor and Pensions** of the Senate, the Secretary shall publish in the Federal Register a notice indicating that such report is available to the public and specifying how such report may be obtained.

(b) **FACILITIES**.--At least once during every 5-year period, the Secretary shall prepare and submit, to the Committee on Education and **Labor** of the House of Representatives and the Committee on **Health, Education, Labor and Pensions** of the Senate, a report concerning the condition, location, and ownership of facilities used, or available to be used, by Indian Head Start agencies (including **Alaska Native** Head Start agencies) and Native Hawaiian Head Start agencies.

(c) Fiscal Protocol-

(1) IN GENERAL- The Secretary shall conduct an annual review to assess whether the design and implementation of the triennial reviews described in section 641A(c) include compliance procedures that provide reasonable assurances that Head Start agencies are complying with applicable fiscal laws and regulations.

(2) REPORT- Not later than 30 days after the date the Secretary completes the annual review under paragraph (1), the Secretary shall report the findings and conclusions of the annual review to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.

(d) Disability-Related Services-

(1) IN GENERAL- The Secretary shall track the provision of disability-related services for children, in order to--

(A) determine whether Head Start agencies are making timely referrals to the State or local agency responsible for providing services under section 619 or part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.);

(B) identify barriers to timely evaluations and eligibility determinations by the State or local agency responsible for providing services under section 619 or part C of the Individuals with Disabilities Education Act; and

(C) determine under what circumstances and for what length of time Head Start agencies are providing disability-related services for children who have not been determined under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.) to be children with disabilities.

(2) REPORT- Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall provide a report to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate on the activities described in paragraph (1).

(e) Evaluation and Recommendations Regarding Obesity Prevention- Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007 the Secretary shall submit to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate a report on the Secretary's progress in assisting program efforts to prevent and reduce obesity in children who participate in Head Start programs, including progress on implementing initiatives within the Head Start program to prevent and reduce obesity in such children.

Sec. 653. **COMPARABILITY OF WAGES**

[42 U.S.C. 9848]

(a) Comparability of Wages- The Secretary shall take such action as may be necessary to assure that persons employed in carrying out programs financed under this subchapter shall not receive compensation at a rate which is (1) in excess of the average rate of compensation paid in the area where the program is carried out to a substantial number of persons providing substantially comparable services, or in excess of the average rate of compensation paid to a substantial number of the persons providing substantially comparable services in the area of the person's immediately preceding employment, whichever is higher; or (2) less than the minimum wage rate prescribed in section 6(a)(1) of the Fair Labor Standards Act of 1938. The Secretary shall encourage Head Start agencies to provide compensation according to salary scales that are based on training and experience.

(b) Limitation-

(1) IN GENERAL- Notwithstanding any other provision of law, no Federal funds may be used to pay any part of the compensation of an individual employed by a Head Start agency, if such compensation, including non-Federal funds, exceeds an amount equal to the rate payable for level II of the Executive Schedule under section 5313 of title 5, United States Code.

(2) COMPENSATION- In this subsection, the term 'compensation'--

(A) includes salary, bonuses, periodic payments, severance pay, the value of any vacation time, the value of a compensatory or paid leave benefit not excluded by subparagraph (B), and the fair market value of any employee perquisite or benefit not excluded by subparagraph (B); and

(B) excludes any Head Start agency expenditure for a health, medical, life insurance, disability, retirement, or any other employee welfare or pension benefit

Sec. 654. NONDISCRIMINATION PROVISIONS

[42 U.S.C. 9849]

(a) The Secretary shall not provide financial assistance for any program, project, or activity under this subchapter unless the grant or contract with respect thereto specifically provides that no person with responsibilities in the operation thereof will discriminate with respect to any such program, project, or activity because of race, creed, color, national origin, sex, political affiliation, or beliefs.

(b) No person in the United States shall on the ground of sex be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or be denied employment in connection with any program or activity receiving assistance under this subchapter. The Secretary shall enforce the provisions of the preceding sentence in accordance with section 602 of the Civil Rights Act of 1964. Section 603 of such Act shall apply with respect to any action taken by the Secretary to enforce such sentence. This section shall not be construed as affecting any other legal remedy that a person may have if such person is excluded from participation in, denied the benefit of, subjected to discrimination under, or denied employment in connection with, any program, project, or activity receiving assistance under this subchapter.

(c) The Secretary shall not provide financial assistance for any program, project, or activity under this subchapter unless the grant or contract relating to the financial assistance specifically provides that no person with responsibilities in the operation of the program, project, or activity will discriminate against any individual because of a handicapping condition in violation of section 504 of the Rehabilitation Act of 1973.

Sec. 655. LIMITATION WITH RESPECT TO CERTAIN UNLAWFUL ACTIVITIES

[42 U.S.C. 9850]

No individual employed or assigned by **or in** any Head Start agency or other agency assisted under this subchapter shall, pursuant to or during the performance of services rendered in connection with any program or activity conducted or assisted under this subchapter by such Head Start agency or such other agency, plan, initiate, participate in, or otherwise aid or assist in the conduct of any unlawful demonstration, rioting, or civil disturbance.

Sec. 656. POLITICAL ACTIVITIES

[42 U.S.C. 9851]

(a) State or Local Agency- For purposes of Chapter 15 of title 5, United States Code, any agency which assumes responsibility for planning, developing, and coordinating Head Start programs and receives assistance under this subchapter shall be deemed to be a State or local agency. For purposes of clauses (1) and (2) of section 1502(a) of such title, any agency receiving assistance under this subchapter shall be deemed to be a State or local agency.

(b) Restrictions-

(1) IN GENERAL- A program assisted under this subchapter, and any individual employed by, or assigned to or in, a program assisted under this subchapter (during the hours in which such individual is working on behalf of such program), shall not engage in--

(A) any partisan or nonpartisan political activity or any other political activity associated with a candidate, or contending faction or group, in an election for public or party office; or

(B) any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election.

(2) REGISTRATION- No funds appropriated under this subchapter may be used to conduct voter registration activities. Nothing in this subchapter prohibits the availability of Head Start facilities during hours of operation for the use of any nonpartisan organization to increase the number of eligible citizens who register to vote in elections for Federal office.

(3) RULES AND REGULATIONS- The Secretary, after consultation with the Director of the Office of Personnel Management, may issue rules and regulations to provide for the enforcement of this section, which may include provisions for summary suspension of assistance or other action necessary to permit enforcement on an emergency basis.

Sec. 657. ADVANCE FUNDING

[42 U.S.C. 9852]

For the purpose of affording adequate notice of funding available under this subchapter, appropriations for carrying out this subchapter are authorized to be included in an appropriation Act for the fiscal year preceding the fiscal year for which they are available for obligation.

Sec. 657A. PARENTAL CONSENT REQUIREMENT FOR NONEMERGENCY INTRUSIVE PHYSICAL EXAMINATIONS.

(a) Definition- The term 'nonemergency intrusive physical examination' means, with respect to a child, a physical examination that--

(1) is not immediately necessary to protect the health or safety of the child involved or the health or safety of another individual; and

(2) requires incision or is otherwise invasive, or involves exposure of private body parts.

(b) Requirement- A Head Start agency shall obtain written parental consent before administration of any nonemergency intrusive physical examination of a child in connection with participation in a program under this subchapter.

(c) Rule of Construction- Nothing in this section shall be construed to prohibit agencies from using established methods, for handling cases of suspected or known child abuse and neglect, that are in compliance with applicable Federal, State, or tribal law.

Sec. 657B. CENTERS OF EXCELLENCE IN EARLY CHILDHOOD.

(a) Definition- In this section, the term 'center of excellence' means a Center of Excellence in Early Childhood designated under subsection (b).

(b) Designation and Bonus Grants- The Secretary shall, subject to the availability of funds under this section, establish a program under which the Secretary shall--

(1) designate not more than 200 exemplary Head Start agencies (including Early Head Start agencies, Indian Head Start agencies, and migrant and seasonal Head Start agencies) as Centers of Excellence in Early Childhood; and

(2) make bonus grants to the centers of excellence to carry out the activities described in subsection (d).

(c) Application and Designation-

(1) APPLICATION-

(A) NOMINATION AND SUBMISSION-

(i) IN GENERAL- To be eligible to receive a designation as a center of excellence under subsection (b), except as provided in clause (ii), a Head Start agency in a State shall be nominated by the Governor of the State, after selection for nomination by such Governor through a competitive process, and shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.

(ii) INDIAN AND MIGRANT AND SEASONAL HEAD START PROGRAMS- In the case of an Indian Head Start agency or a migrant or seasonal Head Start agency, to be eligible to receive a designation as a center of excellence under subsection (b), such an agency shall

be nominated by the head of the appropriate regional office of the Department of Health and Human Services and shall submit an application to the Secretary in accordance with clause (i).

(B) CONTENTS- At a minimum, the application shall include-

(i) evidence that the Head Start program carried out by the agency involved has significantly improved the school readiness of children who have participated in the program;

(ii) evidence that the program meets or exceeds standards described in section 641A(a)(1), as evidenced by the results of monitoring reviews described in section 641A(c), and has no findings of deficiencies in the preceding 3 years;

(iii) evidence that the program is making progress toward meeting the requirements described in section 648A;

(iv) an assurance that the Head Start agency will develop a collaborative partnership with the State (or a State agency) and other providers of early childhood education and development programs and services in the local community involved to conduct activities under subsection (d);

(v) a nomination letter from the Governor, or appropriate regional office, demonstrating the agency's ability to provide the coordination, transition, and training services of the program to be carried out under the bonus grant involved, including coordination of activities with State and local agencies that provide early childhood education and development to children and families in the community served by the agency, and carry out the activities described under subsection (d)(1); and

(vi) a description of how the center involved, in order to expand accessibility and continuity of quality early childhood education and development services and programs, will coordinate activities, as appropriate, assisted under this section with--

(I) programs carried out under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858 et seq.);

(II) the Early Head Start programs carried out under section 645A;

(III) Early Reading First and Even Start programs carried out under subparts 2 and 3 of part B of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6371 et seq., 6381 et seq.);

(IV) other preschool programs carried out under title I of that Act (20 U.S.C. 6301 et seq.);

(V) programs carried out under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.);

(VI) State prekindergarten programs; and

(VII) other programs of early childhood education and development.

(2) **SELECTION-** In selecting agencies to designate as centers of excellence under subsection (b), the Secretary shall designate not less than 1 from each of the 50 States, the District of Columbia, an Indian Head Start program, a migrant or seasonal Head Start program, and the Commonwealth of Puerto Rico.

(3) **PRIORITY-** In making bonus grant determinations under this section, the Secretary shall give priority to agencies that, through their applications, demonstrate that their programs are of exceptional quality and would serve as exemplary models for programs in the same geographic region. The Secretary may also consider the populations served by the applicants, such as agencies that serve large proportions of families of limited English proficient children or other underserved populations, and may make bonus grants to agencies that do an exceptional job meeting the needs of children in such populations.

(4) **TERM OF DESIGNATION-**

(A) **IN GENERAL-** Subject to subparagraph (B), the Secretary shall designate a Head Start agency as a center of excellence for a 5-year term. During the period of that designation,

subject to the availability of appropriations, the agency shall be eligible to receive a bonus grant under subsection (b).

(B) REVOCATION- The Secretary may revoke an agency's designation under subsection (b) if the Secretary determines that the agency is not demonstrating adequate performance or has had findings of deficiencies described in paragraph (1)(B)(ii).

(5) AMOUNT OF BONUS GRANT- The Secretary shall base the amount of funding provided through a bonus grant made under subsection (b) to a center of excellence on the number of children eligible for Head Start services in the community involved. The Secretary shall, subject to the availability of funding, make such a bonus grant in an amount of not less than \$200,000 per year.

(d) Use of Funds- A center of excellence that receives a bonus grant under subsection (b)--

(1) shall use not less than 15 percent of the funds made available through the bonus grant to disseminate to other Head Start agencies in the State involved, best practices for achieving early academic success, including--

(A) best practices for achieving school readiness, including developing early literacy and mathematics skills, for children at risk for school difficulties;

(B) best practices for achieving the acquisition of the English language for limited English proficient children, if appropriate to the population served; and

(C) best practices for providing high-quality comprehensive services for eligible children and their families;

(2) may use the funds made available through the bonus grant--

(A) to provide Head Start services to additional eligible children;

(B) to better meet the needs of working families in the community served by the center by serving more children in existing Early Head Start programs (existing as of the date the center is designated under this section) or in full-working-day, full calendar year Head Start programs;

(C) to further coordinate early childhood education and development programs and services and social services

available in the community served by the center for at-risk children (birth through age 8), their families, and pregnant women;

(D) to provide professional development for Head Start teachers and staff, including joint training for Head Start teachers and staff, child care providers, public and private preschool and elementary school teachers, and other providers of early childhood education and development programs;

(E) to provide effective transitions between Head Start programs and elementary schools and to facilitate ongoing communication between Head Start and elementary school teachers concerning children receiving Head Start services to improve the teachers' ability to work effectively with low-income, at-risk children and their families;

(F) to develop or maintain partnerships with institutions of higher education and nonprofit organizations, including community-based organizations, that recruit, train, place, and support college students to serve as mentors and reading partners to preschool children in Head Start programs; and

(G) to carry out other activities determined by the center to improve the overall quality of the Head Start program carried out by the agency and the program carried out under the bonus grant involved.

(e) Research and Reports-

(1) RESEARCH- The Secretary shall, subject to the availability of funds to carry out this subsection, award a grant or contract to an independent organization to conduct research on the ability of the centers of excellence to use the funds received under this section to improve the school readiness of children receiving Head Start services, and to positively impact school results in the earliest grades. The organization shall also conduct research to measure the success of the centers of excellence at encouraging the center's delegate agencies, additional Head Start agencies, and other providers of early childhood education and development programs in the communities involved to meet measurable improvement goals, particularly in the area of school readiness.

(2) RESEARCH REPORT- Not later than 48 months after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the organization shall prepare and submit to the Secretary and

Congress a report containing the results of the research described in paragraph (1).

(3) REPORTS TO THE SECRETARY- Each center of excellence shall submit an annual report to the Secretary, at such time and in such manner as the Secretary may require, that contains a description of the activities the center carried out with funds received under this section, including a description of how such funds improved services for children and families.

(f) Authorization of Appropriations- There are authorized to be appropriated such sums as may be necessary for each of fiscal years 2008 through 2012 to make bonus grants to centers of excellence under subsection (b) to carry out activities described in subsection (d) and research and report activities described in subsection (e).

Sec. 657C. GENERAL PROVISIONS.

(a) Limitation- Nothing in this subchapter shall be construed to authorize or permit the Secretary or any employee or contractor of the Department of Health and Human Services to mandate, direct, or control, the selection of a curriculum, a program of instruction, or instructional materials, for a Head Start program.

(b) Special Rule- Nothing in this subchapter shall be construed to authorize a Head Start program or a local educational agency to require the other to select or implement a specific curriculum or program of instruction.

(c) Definition- In this subchapter, the term 'health', when used to refer to services or care provided to enrolled children, their parents, or their siblings, shall be interpreted to refer to both physical and mental health.

COMPLIANCE WITH IMPROPER PAYMENTS INFORMATION ACT OF 2002.

(a) Definitions- In this section, the term--

(1) 'appropriate committees' means--

(A) the Committee on Health, Education, Labor, and Pensions of the Senate; and

(B) the Committee on Education and Labor of the House of Representatives; and

(2) 'improper payment' has the meaning given that term under section 2(d)(2) of the Improper Payments Information Act of 2002 (31 U.S.C. 3321 note).

(b) Requirement for Compliance Certification and Report- The Secretary of Health and Human Services shall submit a report to the appropriate committees that--

(1) contains a certification that the Department of Health and Human Services has, for each program and activity of the Administration for Children and Families, performed and completed a risk assessment to determine programs and activities that are at significant risk of making improper payments; and

(2) describes the actions to be taken to reduce improper payments for the programs and activities determined to be at significant risk of making improper payments.

REFERENCES IN OTHER ACTS.

(a) Elementary and Secondary Education Act of 1965- Section 1112(c) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6312(c)) is amended--

(1) in paragraph (1)(G), by striking 'performance standards established under section 641A(a) of the Head Start Act' and inserting 'education performance standards in effect under section 641A(a)(1)(B) of the Head Start Act'; and

(2) in paragraph (2)(B), by striking 'Head Start performance standards as in effect under section 641A(a) of the Head Start Act' and inserting 'education performance standards in effect under section 641A(a)(1)(B) of the Head Start Act'.

(b) Early Learning Opportunities Act- Section 810(b)(1) of the Early Learning Opportunities Act (20 U.S.C. 9409(b)(1)) is amended by striking 'entities funded under section 640(a)(5) of the Head Start Act (42 U.S.C. 9835(a)(5))' and inserting 'entities funded under section 640(a)(2)(B)(vi) of the Head Start Act (42 U.S.C. 9835(a)(2)(B)(vi))'.

(c) Richard B. Russell National School Lunch Act-

(1) Section 9(b)(12)(A)(iii) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1758(b)(12)(A)(iii)) is amended by striking 'the child is a member of a family that meets the low-income criteria prescribed under section 645(a)(1)(A) of the Head Start Act (42 U.S.C. 9840(a)(1)(A))' and inserting 'the child meets the eligibility criteria prescribed under section 645(a)(1)(B) of the Head Start Act (42 U.S.C. 9840(a)(1)(B))'.

(2) Section 17(c)(5) of such Act (42 U.S.C. 1766(c)(5)) is amended by striking 'the child is a member of a family that meets the low-income

criteria prescribed under section 645(a)(1)(A) of the Head Start Act (42 U.S.C. 9840(a)(1)(A))' and inserting 'the child meets the eligibility criteria prescribed under section 645(a)(1)(B) of the Head Start Act (42 U.S.C. 9840(a)(1)(B)).

STANDARDS



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Introduction

In 2012, the Federal Office of Community Services (OCS) provided funding to establish the CSBG Organizational Standards Center of Excellence (COE). The COE was charged with developing a set of organizational standards designed to ensure that CSBG Eligible Entities (CEEs) have the capacity to provide high-quality services to low-income families and communities. The Community Action Partnership received this funding and engaged and expanded the existing CSBG Working Group to spearhead these efforts. The Partnership and the CSBG Working Group involved the breadth of CSBG Network including CSBG Eligible Entities/Community Action Agencies, CSBG State Lead Agencies/Offices, Community Action State Associations, National CSBG Partners (CAPLAW, NASCSP, NCAF), content experts, and others to develop this comprehensive set of CSBG organizational standards.

The initial effort included an intensive 9-month process of listening sessions, literature reviews, surveys, and field testing that resulted in a draft of the CSBG organizational standards being provided to OCS in July 2013. Readers of this document are encouraged to access the July 2013 submission to review the project's full background, standards development process, and implementation recommendations. In March 2014, OCS published a draft information memorandum (IM) including the proposed organizational standards, providing potential implementation recommendations and seeking additional input from the Network.

In January 2015, OCS released [IM 138, State Establishment of Organizational Standards for CSBG Eligible Entities under 678B of the CSBG Act, 42.U.S.C § 9914](#). IM 138 provides direction to States, the District of Columbia, U.S. Territories, and CEEs on establishing organizational standards by FY 2016 and includes the final wording of the standards developed by the Organizational Standards COE.

The Standards were developed in three thematic groups, comprising nine categories with the final set including 58 Standards for private/nonprofit CEEs and 50 for public/governmental entity CEEs. These categories include:

Maximum Feasible Participation

- Consumer Input and Involvement
- Community Engagement
- Community Assessment

Vision and Direction

- Organizational Leadership
- Board Governance
- Strategic Planning

Operations and Accountability

- Human Resource Management
- Financial Operations and Oversight
- Data and Analysis

The COE-developed organizational standards work together to characterize an effective and healthy organization. Some of the Standards have direct links to the CSBG Act, such as the standards on the tripartite board structure and the democratic selection process. Some Standards link with U.S. Office of Management and Budget (OMB) guidance, such as the standards on audits. As a whole, the standards reflect many of the requirements of the CSBG Act, applicable Federal laws and regulations, good management practices, and the values of Community Action.

This document provides the final language for the final COE-developed organizational standards. Additional resources can be found on the Partnership’s website at www.communityactionpartnership.com and include Assessment Tools and a Glossary of Terms. These resources are designed to assist CEEs and States with assessing CEEs against the organizational standards, provide clarity as to terms and activities, and offer non-binding guidance as to the intent of individual standards and how to demonstrate meeting them.

This document and other tools referenced are the work of the Organizational Standards Center of Excellence and the Community Action Partnership. Readers are encouraged to refer to IM 138 for OCS-guidance regarding the CSBG Organizational standards.

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For the purposes of this document, the following definitions apply:

Private CSBG-Eligible Entity - Nonprofit 501(c) (3) organizations serving local communities that are eligible to receive Community Services Block Grant funding. These nonprofit entities are governed by a tripartite board of directors, run operationally by an Executive Director or CEO, and may receive funding from a variety of public and private sources.

Public CSBG-Eligible Entity - Units of local governmental entities, such as a county or city government, eligible to receive Community Services Block Grant funding. Many “Public CEEs” operate programs directly out of the government/municipal department while others subcontract to nonprofits in their communities to provide services. They are advised by a tripartite board/advisory body.

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Organizational Standards For Private, Nonprofit CSBG Eligible Entities

MAXIMUM FEASIBLE PARTICIPATION

CATEGORY ONE: Consumer Input and Involvement

Community Action is rooted in the belief that people with low incomes are in the best position to express what they need to make a difference in their lives. CSBG eligible entities work in partnership with the people and communities they serve. Community Action works in a coordinated and comprehensive manner to develop programs and services that will make a critical difference in the lives of participants. Individuals and families are well attuned to what they need, and when Community Action taps into that knowledge, it informs our ability to implement high-impact programs and services.

Research shows that through engagement in community activities such as board governance, peer to peer leadership, advisory bodies, volunteering, and other participatory means, the poor build personal networks and increase their social capital so that they are able to move themselves and their families out of poverty. Community Action is grounded in helping families and communities build this social capital for movement to self-sufficiency.

- Standard 1.1** **The organization demonstrates low-income individuals' participation in its activities.**

- Standard 1.2** **The organization analyzes information collected directly from low-income individuals as part of the community assessment.**

- Standard 1.3** **The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.**

CATEGORY TWO: Community Engagement

No CSBG eligible entity can meet all of a community's needs independently. Through formal and informal partnerships, ongoing community planning, advocacy, and engagement of people with low incomes, partners ranging from community and faith-based organizations, educational institutions, government, and business work together with Community Action Agencies and other CSBG eligible entities to successfully move families out of poverty and revitalize communities.

Community Action is often the backbone organization of community efforts to address poverty and community revitalization: leveraging funds, convening key partners, adding the voice of the underrepresented, and being the central coordinator of efforts. It is not an easy role to play, but a vital one for families and communities.

- Standard 2.1** **The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.**
- Standard 2.2** **The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.**
- Standard 2.3** **The organization communicates its activities and its results to the community.**
- Standard 2.4** **The organization documents the number of volunteers and hours mobilized in support of its activities.**

CATEGORY THREE: Community Assessment

Local control of Federal CSBG resources is predicated on regular comprehensive community assessments that take into account the breadth of community needs as well as the partners and resources available in a community to meet these needs. Regular assessment of needs and resources at the community level is the foundation of Community Action and a vital management and leadership tool that is used across the organization and utilized by the community to set the course for both CSBG and all agency resources.

- Standard 3.1** **The organization conducted a community assessment and issued a report within the past 3 years.**

- Standard 3.2** **As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).**

- Standard 3.3** **The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.**

- Standard 3.4** **The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.**

- Standard 3.5** **The governing board formally accepts the completed community assessment.**

VISION AND DIRECTION

CATEGORY FOUR: Organizational Leadership

Community Action leadership is exemplified at all levels across the organization and starts with a mission that clarifies Community Action's work on poverty. A well-functioning board, and a focused chief executive officer (CEO)/executive director, well-trained and dedicated staff, and volunteers giving of themselves to help others will establish Community Action as the cornerstone and leverage point to address poverty across the community. Ensuring strong leadership both for today and into the future is critical.

This category addresses the foundational elements of mission as well as the implementation of the Network's model of good performance management (ROMA). It ensures CAAs have taken steps to plan thoughtfully for today's work and tomorrow's leadership.

- Standard 4.1** **The governing board has reviewed the organization's mission statement within the past 5 years and assured that:**
- 1. The mission addresses poverty; and**
 - 2. The organization's programs and services are in alignment with the mission.**
- Standard 4.2** **The organization's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.**
- Standard 4.3** **The organization's Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.**
- Standard 4.4** **The governing board receives an annual update on the success of specific strategies included in the Community Action plan.**
- Standard 4.5** **The organization has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.**
- Standard 4.6** **An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.**

CATEGORY FIVE: Board Governance

Community Action boards are uniquely structured to ensure maximum feasible participation by the entire community, including those the network serves. By law, Community Action boards are comprised of at least 1/3 low-income consumers (or their representatives), 1/3 elected officials (or their appointees), and the remainder private-sector community members. To make this structure work as intended, CAAs must recruit board members thoughtfully, work within communities to promote opportunities for board service, and orient, train, and support them in their oversight role. Boards are foundational to good organizational performance and the time invested to keep them healthy and active is significant, but necessary.

- Standard 5.1** **The organization’s governing board is structured in compliance with the CSBG Act:**
- 1. At least one third democratically-selected representatives of the low-income community;**
 - 2. One-third local elected officials (or their representatives); and**
 - 3. The remaining membership from major groups and interests in the community.**
- Standard 5.2** **The organization’s governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.**
- Standard 5.3** **The organization’s bylaws have been reviewed by an attorney within the past 5 years.**
- Standard 5.4** **The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.**
- Standard 5.5** **The organization’s governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.**
- Standard 5.6** **Each governing board member has signed a conflict of interest policy within the past 2 years.**
- Standard 5.7** **The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.**
- Standard 5.8** **Governing board members have been provided with training on their duties and responsibilities within the past 2 years.**
- Standard 5.9** **The organization’s governing board receives programmatic reports at each regular board meeting.**

CATEGORY SIX: Strategic Planning

Establishing the vision for a Community Action Agency is a big task and setting the course to reach it through strategic planning is serious business. CSBG eligible entities take on this task by looking both at internal functioning and at the community's needs. An efficient organization knows where it is headed, how the board and staff fit into that future, and how it will measure its success in achieving what it has set out to do. This agency-wide process is board-led and ongoing. A "living, breathing" strategic plan with measurable outcomes is the goal, rather than a plan that gets written but sits on a shelf and stagnates. Often set with an ambitious vision, strategic plans set the tone for the staff and board and are a key leadership and management tool for the organization.

- Standard 6.1** **The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.**

- Standard 6.2** **The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.**

- Standard 6.3** **The approved strategic plan contains family, agency, and/or community goals.**

- Standard 6.4** **Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.**

- Standard 6.5** **The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.**

OPERATIONS AND ACCOUNTABILITY

CATEGORY SEVEN: Human Resource Management

The human element of Community Action's work is evident at all levels of the organization and the relationship an organization has with its staff often reflects the organization's values and mission. Oversight of the chief executive officer (CEO)/executive director and maintaining a strong human resources infrastructure are key responsibilities of board oversight. Attention to organizational elements such as policies and procedures, performance appraisals, and training lead to strong organizations with the capacity to deliver high quality services in low-income communities.

- Standard 7.1** **The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.**
- Standard 7.2** **The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.**
- Standard 7.3** **The organization has written job descriptions for all positions, which have been updated within the past 5 years.**
- Standard 7.4** **The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.**
- Standard 7.5** **The governing board reviews and approves CEO/executive director compensation within every calendar year.**
- Standard 7.6** **The organization has a policy in place for regular written evaluation of employees by their supervisors.**
- Standard 7.7** **The organization has a whistleblower policy that has been approved by the governing board.**
- Standard 7.8** **All staff participate in a new employee orientation within 60 days of hire.**
- Standard 7.9** **The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.**

CATEGORY EIGHT: Financial Operations and Oversight

The fiscal bottom line of Community Action is not isolated from the mission, it is a joint consideration. Community Action boards and staff maintain a high level of fiscal accountability through audits, monitoring by State and Federal agencies, and compliance with Federal Office of Management Budget circulars. The management of Federal funds is taken seriously by CSBG eligible entities and the Standards specifically reflect the board's oversight role as well as the day-to-day operational functions.

- Standard 8.1** **The Organization's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administration Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.**
- Standard 8.2** **All findings from the prior year's annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.**
- Standard 8.3** **The organization's auditor presents the audit to the governing board.**
- Standard 8.4** **The governing board formally receives and accepts the audit.**
- Standard 8.5** **The organization has solicited bids for its audit within the past 5 years.**
- Standard 8.6** **The IRS Form 990 is completed annually and made available to the governing board for review.**
- Standard 8.7** **The governing board receives financial reports at each regular meeting that include the following:**
1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and
2. Balance sheet/statement of financial position.
- Standard 8.8** **All required filings and payments related to payroll withholdings are completed on time.**
- Standard 8.9** **The governing board annually approves an organization-wide budget.**
- Standard 8.10** **The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.**
- Standard 8.11** **A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.**
- Standard 8.12** **The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.**
- Standard 8.13** **The organization has a written policy in place for record retention and destruction.**

CATEGORY NINE: Data and Analysis

The Community Action Network moves families out of poverty every day across this country and needs to produce data that reflect the collective impact of these efforts. Individual stories are compelling when combined with quantitative data: *no data without stories and no stories without data*. Community Action needs to better document the outcomes families, agencies, and communities achieve. The Community Services Block Grant funding confers the obligation and opportunity to tell the story of agency-wide impact and community change, and in turn the impact of the Network as a whole.

- Standard 9.1** **The organization has a system or systems in place to track and report client demographics and services customers receive.**

- Standard 9.2** **The organization has a system or systems in place to track family, agency, and/or community outcomes.**

- Standard 9.3** **The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.**

- Standard 9.4** **The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.**

RISK ASSESSMENT TOOLKIT

Quick Reference Guide to Risk Assessment Basics for Community Action Agencies

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INTRODUCTION

This is a toolkit designed to be a quick reference guide for the foundational elements of risk assessment. It is based on IM-112 which outlines standards to be used in risk assessment. These standards frame the discussion and are the basis of the ACF/OCS perspective of the subject.

Risk Assessment Foundations

1. What is IM 112?

Information Memorandum 112 is guidance issued on August 18, 2009, by the Office of Community Services, a program of the Administration for Children and Families of the U.S. Department of Health and Human Services. The Office of Community Services (OCS) utilizes Information Memorandums (IM) to provide guidance to recipients and sub-recipients of federal funds for which OCS is responsible. The full text of IM 112 is available at <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im112.html>.

IM 112 was issued to address specific concerns regarding the management of funds made available through the American Recovery and Reinvestment Act of 2009, the federal stimulus dollars frequently referred to by the acronym ARRA. In addition to providing guidance relating to ARRA funding, IM 112 required all CSBG eligible entities to conduct a risk assessment process and to certify that their risk assessment process addressed specific factors identified in the IM. **While the impetus for IM 112 was the provision of ARRA funding, the core risk assessment and risk mitigation strategies expressed in IM 112 continue to be required of all CSBG funding recipients.**

2. What is ARRA?

The American Recovery and Reinvestment Act of 2009 (ARRA) provided funding to States, U.S. Territories, and eligible Tribal governments and Tribal Organizations based on a defined formula outlined in Public Law 105-285, the Community Opportunities, Accountability and Training and Educational Services Act of the 1998. Additional guidance regarding ARRA funding was provided by the Office of Community Services in IM 109 and 110.

3. Does IM 112 still apply even after all of our ARRA awards are closed?

Yes! While IM 112 discusses ARRA funding explicitly, the compliance guidance it provides applies to the management of virtually all federal funding agreements, including ongoing CSBG funding awards. Both before and after ARRA, recipients of federal funds have been required to comply with the OMB Circular A-110 (2 CFR 215) by implementing financial management systems which provide "effective control over and accountability for all funds, property and other assets" (2 CFR 215.21.b.5).

The GAO Standards for Internal Control (<http://www.gao.gov/special.pubs/ai00021p.pdf>) and the COSO Integrated Internal Control Framework (<http://www.coso.org/IC-IntegratedFramework-summary.htm>) referenced in IM 112 comprise the most widely accepted approach to establish financial management systems which provide the effective controls required by A-110. The importance of the COSO framework for internal control in the management of federal funds is further reinforced by the OMB A-135 and its compliance supplements which direct auditors to use the COSO framework as the basis of their audit planning and evaluation of internal controls.

4. Do CAAs Need to Continue Doing the Certification of Risk Assessment that was required in IM 112?

IM 112 included a requirement for CAAs to certify the completion of a risk assessment process expressly designed to address risks specific to the management of ARRA funding. The Sample Risk Assessment Template included in IM 112 posed risk assessment questions which continue to be useful in the overall risk assessment process. This is a key element in establishing and maintaining the controls needed for the management of all federal awards.

The IM 112 Risk Assessment Template required Community Action Boards to determine whether their CAA had:

1. Identified and resolved prior audit and monitoring findings;
2. Implemented financial and operational controls to prevent fraud, waste, abuse, and mismanagement of federal funds;
3. Established administrative, fiscal, and programmatic policies and procedures in accord with CSBG statutes which are communicated clearly to all staff;
4. Reviewed internal policies and procedures for compliance with the requirements of the CSBG Act, CSBG Information Memorandum, OMB Circulars, ACF Grant Terms and Conditions, and other contracted terms and conditions and implemented a methodology for monitoring internal policies and procedures;
5. Reviewed procedures to ensure compliance with CSBG ARRA provisions relating to purchase of general purpose equipment;
6. Requested Federal waivers when required to comply with CSBG Statutes relating to the purchase or improvement of land, or the purchase, construction, or permanent improvement of buildings or facilities.

While OCS does not currently require Community Action Agencies to complete a similar risk assessment certification, CAAs will want to be sure that they continue to determine whether their organization has addressed the issues identified in questions 1 through 4 and question 6 as part of their comprehensive risk assessment process, and address the underlying issue posed in question 5 (which was ARRA specific) to encompass the specific requirements of their current funding agreements in relation to purchase of general purpose equipment.

5. Does IM 112 require a specific approach to internal controls?

IM 112 notes that CSBG recipient organizations are required to have comprehensive internal controls. IM 112 quotes the definition of internal control provided by the Government Accountability Office “internal control is not one event, but a series of actions and activities that occur throughout an entity’s operations and on an ongoing basis. Internal control should be recognized as an integral part of each system that management uses to guide its operations rather than as a separate system within an agency” (GAO/AIMD-00-21.3.1, Standards for Internal Control in the Federal Government). GAO standards for internal control in the Federal Government are available online at <http://www.gao.gov/special.pubs/ai00021p.pdf>.

IM 112 notes that the basis for the GAO standards is found in **The Internal Control Integrated Framework**, published by the **Committee of Sponsoring Organizations of the Treadway Commission (COSO)**. The approach to risk assessment and evaluation of internal controls required by IM 112 is based upon to core tenants of the COSO Integrated Framework.

What is the COSO Internal Control Integrated Framework?

COSO is an acronym for the **Committee of Sponsoring Organizations of the Treadway Commission**. The Committee included representatives from five major professional organizations headquartered in the United States who came together in 1985 to develop comprehensive guidance for establishing internal controls which would protect all types of entities from error and fraud. The resulting document –Internal Control–Integrated Framework–was released in 1992. In 2010, COSO announced a project to update the 1992 document. The updating effort will include specific attention to the challenges of nonprofit organizations.

A summary of The Internal Control Integrated Framework may be downloaded free from <http://www.coso.org/IC-IntegratedFramework-summary.htm>. The entire framework document may be purchased from the same website –however most Community Action Agencies will find the summary meets their needs. The integrated framework identifies 5 key elements of effective systems of internal controls. You'll find help with each of these elements in the FAQs indicated below:

- Risk Assessment – Section IV
- Control Environment – Section V
- Control activities- Section VI
- Information and Effective Communication – Section VII
- Monitoring- Section VIII

The COSO framework provides core guidance for independent auditors as well as Boards and managers. It is utilized by auditors to gain an understanding of auditees' systems of internal controls which will be the basis for the audit plan, design of audit tests, and ultimately findings regarding the adequacy of internal controls.

Preventing Fraud, Waste, and Abuse

6. What kinds of fraud happen in CAAs?

The term "fraud" encompasses three key areas:

- Misappropriation – theft or misuse for personal gain of goods or services
- Misstatement – asserting that information is true, accurate, and complete when it is not
- Corruption- decisions or actions that benefit individuals or other entities but are not in the best interest of the CAA

Unfortunately, all three types of fraud can occur in Community Action Agencies as well as every other type of business or governmental entity. Internal Controls are designed to prevent and detect all types of errors or irregularities, including the types of activities which can be described as controls.

7. What types of misappropriation do CAAs experience?

Unfortunately, virtually all types of theft or misuse are possible. Community Action Agencies must design and implement controls to protect themselves from dishonest acts by both insiders (staff, volunteers, clients, board members) and outsiders (visitors, internet fraudsters, and common thieves). Embezzlement schemes may involve redirection of contributions and other payments intended for the CAA to the accounts of thieves, or various strategies to trick the system into making payments for goods and services not received. Today's computers and printers make it easy for fraudsters to attach the CAA's bank routing information to fake checks which can be cashed with fake IDs. Because new strategies for embezzlement emerge daily, CAAs must continuously monitor their controls to be sure that they designed and implemented effectively to meet emerging risks.

Misuse of the CAA's assets is also a form of misappropriation. Employees or volunteers who "borrow" the use of vehicles or equipment to use for personal purposes may not understand that they are actually committing a form of fraud. Managers or Board members who ask employees to "help out" with personal projects may end up "stealing" services from the organization. The misuse of corporate assets (including staff time as well as equipment) is best prevented by clear policies, strong role models, and whistleblower procedures which encourage everyone associated with the CAA to share information through appropriate channels when they encounter situations that they believe may comprise misuse of assets.

8. What is misstatement and why does it matter?

The fraud of misstatement occurs when an organization asserts that a statement is true when, in fact, it isn't. Potential opportunities for misstatement include both financial and program reporting, especially reporting to funding sources relating to compliance with requirements



referenced in contracts and agreements. Typically, funding source report formats include a statement affirming the accuracy and completeness of the data contained in the report and compliance with law and regulation described in the funding agreement. Unfortunately, weak controls and limited internal monitoring systems may result in managers signing such affirmations in the belief that the organization has complied with the requirements when in fact breakdowns in communications and controls have resulted in failure to comply.

The preparation of financial statements almost always involves some level of professional judgment and reliance on certain estimates and assumptions. Misstatement occurs if the resulting financial information presents a materially misleading picture of financial activities and results. In a grant funded environment, improper coding of costs to the various funding source agreements may result in misstatement – asserting that grant funds have been expended only for allowable purposes when in fact, unallowable costs, including improperly allocated costs, have been included in the report.

Misstatements may lead to audit findings and eventual demands for repayment of funds or exclusion from future funding opportunities. Equally important, misstatement results in both managers and board members making decisions based on faulty information.

9. What is corruption?

Corruption occurs when someone with a decision-making role is induced to make a decision which is not in the best interests of the organization. For example, a vendor who makes gifts to a manager with responsibility for purchasing program supplies is engaging in corruption. Similarly, a Board member who influences a manager's decision on the selection of staff to gain preference for a friend or relative is engaging in corruption. Community Action Agencies regularly utilize Conflict of Interest Policies as part of an overall system to prevent corruption and Whistleblower Policies and Procedures to encourage reporting of concerns about improper conduct.

10. What can Boards do to prevent fraud, waste, and abuse?

Board attention to the control environment is essential to prevent fraud, waste, and abuse. Board members must hold each other to the highest standards of integrity, adopting and fully implementing conflict of interest policies, and regularly reviewing the Board's own performance in relation to effective oversight of the Executive Director (ED), finances, and compliance. Boards delegate substantial responsibility for preventing fraud, waste, and abuse to the Executive Directors and must consistently monitor and evaluate the adequacy of their ED's performance in these key areas. The annual independent audit provides a great opportunity for Board members to get help understanding how well their controls are working from an independent professional. To make the most of this opportunity, Boards need to ensure that either the Audit Committee or full Board conducts a confidential meeting with the auditor at the close of the audit engagement to seek the auditor's observations about controls and the control environment and recommendations for improvements.

Risk Assessment

11. What is Risk Assessment?

Risk assessment is a systematic process of thinking through the many ways that "bad things can happen to good people". Starting from the understanding that every organization intends to do the right thing, from board governance to financial management and the delivery of services, real life experience tells us that things don't always turn out the way we intend to have them turn out. Risk assessment involves identifying the areas in which problems might arise and then systematically evaluating both how likely that each problem is to occur and how serious the consequences of the problem would be. The goal of risk assessment is to understand the risks that our organization confronts and clarify the extent to which we can undertake strategies (risk mitigation) to control the likelihood of occurrence and the severity of the consequences.

12. How can my Board be sure our Community Action Agency has done an effective risk assessment?

Some CAAs establish a Risk Management Committee comprised of Board members and other community members with extensive risk management expertise. Larger businesses, hospitals and health systems, and governmental organizations will be good sources of potential committee members with risk management expertise. The Risk Management Committee can review the risk assessment developed by management and determine whether areas have been missed or minimized. Risk Management Committees also work with management to review the risk mitigation strategies that management has designed and implemented. The committee can then report to the Board to identify any areas that require additional attention or provide assurance that management's risk assessment and risk mitigation approach is sound.

Boards may also consider using independent experts to perform risk assessments and recommend risk mitigation strategies in specific areas or agency-wide. The independent auditor will have reviewed management's risk assessment and risk mitigation strategies in relation to internal controls, so Board conversations with the auditor should include discussion of the adequacy of management's approach to risk. Boards may include a request for risk assessment as part of the responses required from insurance brokers who wish to be considered to work with the CAA. Attorneys with specialized expertise in nonprofit law often provide a form of risk assessment through reviewing the CAA's core legal documents (articles of incorporation, by-laws), board policies and board minutes to provide recommendations about governance risks. Attorneys focusing on employment law and/or human resources consultants may be engaged to review the CAA's employment policies and practices to identify areas of risk and mitigation strategies.

Ultimately, each Board will want to develop a process for identifying risks and evaluating the risk mitigation strategies that the organization has developed to control the risk. Ensuring effective risk assessment and risk mitigation is a core oversight responsibility for every Board. This relates directly to the Board's legal responsibility to protect the assets of the nonprofit and to ensure that all resources are used wisely in the best interest of the corporation.

13. How can representatives of low income communities make an important contribution to risk assessment?

Low income individuals can make tremendously important contributions to risk assessment by sharing their knowledge of how individuals and organizations within low income communities perceive the work of the CAA. By listening to friends, neighbors, and family members, the low income representatives have access to vital information for risk assessment, including:

- Is information about the services of the CAA widely available to average community members?
- Do community members who have sought help through the CAA feel that they have been treated respectfully and fairly?
- Does the information that the CAA provides to individuals and to community organizations make the nature of the services and the requirements for eligibility clear to an average person who is not already knowledgeable about a specific government program?
- Do people in the community perceive the staff of the CAA to be honest?
- Do people in the community perceive that CAA programs are "safe"? If vulnerable people are being served, like children, seniors, or people with disabilities, do community members perceive them to be protected from harm?
- Do you hear suggestions about how to "beat the system" in relation to the CAA?

To get the benefit of the knowledge and insight of low income representatives on the board, the CAA will need to provide an opportunity for confidential communication with the Board committee that is reviewing the organization's risk assessment. While managers generally perform the initial assessment, the Board has a key role in reviewing the work of management

to be sure that risks have been identified clearly. If the observations of the low income community representatives suggest risks that have not been addressed, the Board will need to ask management to determine whether the perceptions reflect reality or whether the underlying issue is really reputation risk – that is the risk that the reputation of the CAA will be damaged by unfair as well as fair perceptions about the competence and integrity of the CAA.

14. How does the size of the CAA impact the Board's role in risk assessment and risk management?

Effective risk assessment and risk management requires both substantial skill and time. Larger CAAs frequently have sufficient resources to hire top managers with both extensive professional preparation and sufficient time to focus on risk assessment and risk management rather than multiple daily operational tasks. For example, a larger CAA may employ a Chief Financial Officer who is qualified as a CPA and has extensive experience utilizing the COSO framework as an auditor, and is supported by a staff of knowledgeable accounts including a Controller who handles the complex demands of overseeing the accounting system and preparing financial statements. In this structure, the Chief Financial Officer (CFO) has both the time and the expertise required to lead a risk assessment process and may even be able to supervise multiple staff with responsibilities for risk management.

In large organizations in which professional staff have both time and expertise to provide effective leadership in risk assessment and risk mitigation, the Board role often focuses on evaluating the performance of management in these areas. Such Boards frequently utilize committees to address specific components of risk assessment and management including establishing an Audit Committee, Risk Management Committee, Chief Executive Officer (CEO) Compensation Committee, and charging the Executive Committee with particular responsibility for oversight and support of the CEO.

In contrast, in many small and mid-sized CAAs, the person with the CFO or Fiscal Director title is actually fulfilling the role described for the Controller in the larger organization, overseeing the accounting system on a daily basis and preparing financial statements and a variety of funding source reports. So regardless of professional preparation, the fiscal director in the smaller organization may simply not have the time available to lead a comprehensive risk assessment and risk management effort.

In small to mid-sized CAAs, Board members or a Board committee may need to provide leadership in risk assessment and risk management, bringing both professional expertise and mental space to reflecting on the COSO framework within their organization. In some small to mid-sized CAAs, Board members do not have the professional expertise or time required to provide leadership in utilizing the COSO framework, and instead direct the use of resources to obtain professional consulting services for periodic evaluation of risks and risk mitigation strategies.

But regardless of the size of the CAA, Boards have a critical role to play in relation to establishing effective controls by expressing absolute commitment to integrity at every level of the organization and providing resources to ensure that professional expertise is available to ensure both the design and the consistent implementation of cost effective internal controls.

Control Environment

15. What does control environment mean?

The "control environment" refers to the extent to which everyone who has contact with an organization perceives the organization and its leaders to be committed to complete integrity in every aspect of their work. While the presence of policies and procedures which require honesty is an element of the control environment, the actual behavior and attitude of leaders may have a more significant impact on behaviors within an organization. The Board plays a critical role in both establishing a positive control environment and continuously evaluating the control environment which exists within the organization they serve.

16. How can Boards know what the control environment in their CAA really is?

Boards can draw first on their own experiences with the organization, considering the extent to which the Board is demonstrating its commitment to honesty and integrity through its actions as well as words. Board members can reflect upon their experiences with the Executive Director and other staff to understand the extent to which questions raised by the board have been answered fully and information presented to the board has been complete, accurate, and useful. Boards can also reflect on the degree to which their annual performance evaluation of the CEO has provided them with a clear understanding of the person's behaviors in relation to integrity issues.

Board-only discussions with the independent auditor provide an excellent opportunity for the Board to explore the auditor's perceptions regarding the control environment. Board review of reports from funding source monitors may also provide useful information regarding control environment strengths and weaknesses. Whistleblower policies and procedures should be designed to ensure that concerns about integrity and compliance with control procedures are brought to the attention of the Board.

Some Boards form a Risk Management Committee and assign the committee responsibility for evaluating the control environment annually through review of policies and procedures and through interviews with the CEO and key managers. Risk Management Committees may augment the information they receive through these procedures with periodic employee surveys designed to measure employee perception regarding organizational integrity a management attitudes around control issues. Some organizations utilize consultants to conduct exit interviews of some or all departing employees to obtain insight into the actual work environment within the organization.

Board members who are representing low income communities may play a particularly valuable role in building the Board's understanding of the control environment through their direct knowledge of how the organization is perceived by its clients or prospective clients. Risk Management Committee confidential interviews with low income representatives can surface community perceptions of integrity or lack of integrity which can be extremely helpful in building the Board's understanding of the control environment.

17. What is the Board's role in creating and maintaining a positive Control Environment?

The Board sets the tone for the control environment through its selection and oversight of the Executive Director/CEO and through its commitment to attentive, engaged direction of the organization. Maintaining a positive control environment requires regular Board attention for full implementation of the Conflict of Interest policy and meaningful evaluation of the CEO. Boards can reinforce their commitment to integrity and control through contracting with the auditor or other professional resources to review CEO expense reports and executive compensation and benefits. Board or Audit Committee confidential conversations with the independent auditor also provide an important opportunity for understanding the control environment and identifying strategies to strengthen it.

Boards must be committed to following up on any concerns about integrity which may arise through informal as well as formal channels. Some Boards require the use of third party reporting services for whistleblower reporting purposes in order to get expert assistance to follow-up on control concerns.

Control Activities

18. What are Control Activities?

Control activities are the systems, policies, and procedures that CAAs put in place to ensure effective financial management which protects assets and prevents fraud, waste, and abuse. They include fiscal, information technology, human resource, facilities, program, and board policies and procedures designed to prevent improper actions and errors from occurring and detect mistakes (willful or accidental) and ensure correction.

19. What is the Board's role in Control Activities?

Boards most commonly play primarily authorizing and review roles within the organization's overall system of controls. Board approval of the annual budget and authorization of overall CEO/Executive Director compensation are critical control activities. Board review of actual revenues and expenses in comparison to the budget also functions as a control activity, facilitating identification of both potential accounting errors and possible misdirection of resources.

However, given the size, scope, and complexity of operations in most Community Action Agencies, management must take primary responsibility for Control Activities, including the design of control systems, full implementation of the systems, and regular monitoring of internal compliance.

Some control systems utilize Board signatures on checks as a key control activity. As organizations grow more complex, the volume of transactions expands, and the use of electronic payment methods increases, the efficacy of Board signatures on checks as a key control activity becomes less certain. At a minimum, effective use of Board signatures as a control requires training Board signers to conduct a proper review of documentation before signing checks. Inattentive or incomplete review of underlying documentation makes the Board member's signature on the check a very poor control and may actually confuse the process of establishing accountability for improper payments.

More meaningful Board control activities may include:

- Explicit Board approval of the Executive Directors annual compensation including all benefits and perks.
- Periodic review of ED payroll and benefits and spot checks of ED expense reimbursements, or in larger organizations, contracting with an accounting professional to conduct such reviews periodically and report results directly to a designated Board member or committee.
- Explicit Board approval of the opening, closing, signature requirements, and modifications for all bank accounts.
- Explicit Board approval of all mortgage debt, lines of credit, or other corporate borrowing.
- Board approval of very significant purchases, typically including all real estate transactions, either purchase or lease.

Control through Information and Communication

20. Why does effective information sharing and communication matter in relation to the COSO approach to internal controls?

No matter how well an organization has designed its control activities, they won't be effective without getting everyone involved to understand both the organization's commitment to integrity and the specific policies and procedures that have been established. And no matter how well prepared and committed individuals are, mistakes happen. One of the most important controls an organization can utilize to ensure the accuracy of its accounting and financial reporting is to ask staff and managers who have direct knowledge of the work of the organization to review financial reports which relate to their area of activities. Providing reports of revenues and expenses in comparison to budget for specific programs to individuals with direct knowledge of the activities of those programs, provides an essential element of control. Of course for this control to work, the individual reviewing the financial info must be able to communicate their questions and concerns to accounting staff that are must be open to examining the causes of the errors and making corrections.

21. What is the Board's role in information sharing and communication?

Board access to and review of financial information provides an additional level of control by creating the opportunity for truly fresh eyes to spot potential errors or problem areas. However, primary responsibility for the accuracy of financial information must remain with management and Board review of financial information should focus primarily on trends and financial health issues, rather than detailed review of cost center accounting. It may be appropriate for the Finance Committee to review the information sharing and communication procedures that management has implemented. CAA Boards should be aware that periods in which funding has been reduced and staff are expected to do more with less often are accompanied by breakdowns in information sharing and communication which can lead to control weaknesses and compliance failures.

Monitoring

22. What does "monitoring" mean in the COSO framework?

While many Community Action Agencies think of "monitoring" as something that funding sources or other external parties provide, the COSO framework focuses on "monitoring" as a key internal function. Effective systems of internal controls include establishing a consistent process through which an organization conducts its own periodic testing and analysis of whether its controls are working.

Larger Community Action Agencies have begun utilizing a high level staff position (Compliance Officer, Internal Auditor, etc.) to design and manage an internal monitoring system. In smaller CAAs in which funds are not be available to support a separate professional position, consultants can be utilized to establishing an internal monitoring system and help assign responsibilities for implementation of the system to specific positions.

While many Fiscal Directors/CFOs are familiar with the concept of internal auditing and have devised various procedures within the fiscal office to monitor compliance with fiscal policies and procedures, systematic monitoring is also needed to ensure compliance with internal policies and procedures and contractual requirements in all aspects of program service delivery as well as in facilities, human resources, and information technology management.

23. What is the Boards role in Monitoring?

Given the CSBG requirements for tri-partite Boards undertaking specific responsibilities, CAAs must also establish effective monitoring procedures for Board governance. Many Boards conduct an annual assessment of their own performance which includes review of the composition of the board and the board's role in needs assessment, planning, and oversight as required by CSGB.

24. Why don't auditors and funding source monitors provide all the monitoring we could possibly need?

First, by the time an auditor or funding source monitor discovers a breakdown in your systems, damage may already have been done. Remember that independent audits are conducted after the fiscal year is completed and in many cases after specific reports to funding sources have been submitted and some funding agreements have been closed. So, it is often too late to correct mistakes without adverse consequences by the time these external monitors find them.

Perhaps more significantly, auditing standards make it extremely clear that the auditor cannot function as part of the system of controls for organizations they audit. If your auditor did function as part of your system of controls, they would no longer be considered independent and couldn't express an opinion on your financial statements. Part of every audit involves the auditor assessing the adequacy of the internal controls of the organization. The absence of an internal monitoring system is a control weakness in the sense that you have not established a systematic way to be sure that the policies and procedures you have put in place are actually working.

25. Does having a “clean” audit opinion mean that our CAA doesn’t need to worry about risk assessment and internal controls?

No! Effective internal controls require continuous risk assessment and consistent implementation of risk mitigation strategies, including regular review and updating of internal controls.

Community Action Agencies are operating in a period of rapid change, encompassing both dramatic shifts in the availability of funding resources, and continuously emerging control risks.

A “clean” audit opinion provides the Board with assurance that the independent auditor has concluded that the financial statements fairly present the financial condition of the organization. Auditors use a complex matrix of factors to determine whether any underlying problems with internal controls and compliance are of such significant magnitude that they have resulted in financial statements that do not fairly present the organization’s financial condition. The auditor may have found numerous problems with internal controls and compliance which are very significant in relation to the organization’s compliance with federal requirements but do not reach the level of significance in presentation of the financial statements that would require the auditor to give a “qualified” or not clean opinion. Most CAAs are required to undergo A-133 audits in which the auditor provides additional reports beyond the standard audit opinion letter. In those reports, the auditor identifies specific control and compliance problems. Discussion of these audit findings with the auditor should be an important part of the Board’s risk assessment process.

The completion of an A-133 audit in which the auditor reports no findings, no significant deficiencies or material weaknesses, is a great sign that effective controls have been both designed and implemented. However, even after a successful A-133 audit, Community Action Agencies must continuously assess risks and implement the COSO framework to ensure that current controls are working and to identify emerging risks which must be addressed through new or redesigned controls.

Risk Management and Risk Mitigation

26. What is Risk Mitigation?

Risk mitigation is a term used to describe all the various strategies your CAA uses to reduce or control risks. Risk mitigation can include establishing a positive control environment, adopting and implementing appropriate policies and procedures, hiring competent staff, providing training, monitoring results, and insuring against losses. Once your CAA has identified its most significant risks, the next step will be identifying the risk mitigation strategies that will be most cost effective to control the risks and minimize the damages that the risks may pose to your organization.

27. What is Enterprise Risk Management?

In 1994, COSO released a new framework document – Enterprise Risk Management Integrated Framework –designed to provide more comprehensive guidance for managing risks throughout an organization. The ERM framework incorporates the five key elements of the original COSO Integrated Internal Control Framework (Risk Assessment, Control Environment, Control Activities, Information Sharing and Communication, and Monitoring), and adds 3 additional elements:

- ERM Objective Setting
- ERM Event Identification
- ERM Risk Response

Risk Objective Setting involves high level discussion of an organization’s tolerance and appetite for risks. Most CAAs have extremely limited tolerance for risk due to the pressures of compliance with multiple funding restrictions and compliance requirements and the significance of public opinion in relation to the organization’s access to funding.

Risk Event Identification is a systematic evaluation of the types of risk events which the CAA may encounter, including events that are driven by both external and internal factors. A central element of ERM is the recognition that events are interdependent, not isolated, and that events can have a positive or negative impact, or in some cases both positive and negative impact. Among the external factors considered in an ERM risk identification process are factors relating to economic conditions, the natural environment, political issues, social forces, and technology. Among the internal factors, ERM considers infrastructure, personnel, process, and internal technology.

Ultimately ERM focuses on Risk Response, a systematic process for:

- evaluating strategies to avoid, reduce, share or accept risk;
- evaluating the risk likelihood and impact
- assessing costs versus benefits
- evaluating response opportunities
- utilizing a “portfolio view” to deal with the interdependent issues.

Enterprise Risk Management is now recognized as a key management discipline. Large businesses and governmental entities employ high level ERM Officers. It is probably both unrealistic from a budget standpoint and unnecessary on a practical level for most CAAs to create such positions. However, the underlying concepts should become a part of each CAAs risk assessment process, and larger CAAs may periodically seek pro bono assistance from entities with expert ERM professionals.

CSBG Basics

28. What is CSBG?

The Community Services Block Grant (CSBG) is federal funding provided through the Office of Community Services, a program of the Administration for Children and Families of the U.S. Department of Health and Human Services. CSBG funding is awarded to states, U.S. Territories, and Tribal governments in accord with the provisions of The Community Services Block Grant Act of 1981 as amended by Section 680(a)(2) of the Community Opportunities, Accountability, and Training and Educational Services Act of 1998 (P.L. 105-285).

The Community Services Block Grant (CSBG) provides funds to alleviate the causes and conditions of poverty in communities. OCS awards CSBG funds to States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Territories, and Federal and State-recognized Indian Tribes and tribal organizations, Community Action Agencies, migrant and seasonal farmworkers or other organizations designated by the States.

The CSBG program provides funds to lessen poverty in communities. The funds may be utilized to provide a range of services and activities to assist the needs of low-income individuals including the homeless, migrants and the elderly. Grant amounts are determined by a formula based on each State's and Indian Tribe's poverty population. Grantees receiving funds under the CSBG program are required to provide services and activities addressing employment, education, better use of available income, housing, nutrition, emergency services and/or health.

29. What are Community Action Agencies?

Community Action Agencies may be either private nonprofit corporations or public entities that meet the requirements for purpose, governance, and activities specified within the CSBG Act. Community Action Agencies which are operated as private nonprofit corporations organized under state not-for-profit statutes must have governing boards of directors which meet the CSBG Act requirements for Tri-Partite Boards.

When public entity Community Action Agencies operate through a single governmental entity, final authority for their operation rests with the elected governing board of that entity. For example, the County Commission is the final governing authority for a Community Action

Agency operated as part of that county. Some counties choose the form consortiums, through establishing intergovernmental agreements with other counties, to operate a multi-county Community Action Agency. For such consortiums, the intergovernmental agreement establishes the governing structure. Public entity Community Action Agencies are required to establish advisory boards which meet the requirements of the CSBG Act, including the requirement for the tri-partite board.

30. What is a Tri-Partite Board?

The CSBG Act specifies that CSBG eligible entities must be governed by a Tri-Partite Board, which is a board comprised of at least one third representatives of the low income communities served by the entity, one third representatives of elected officials of local governmental entities, and one third representatives of the community at large. The low income representatives of low income communities do not need to be low income themselves but do need to be selected through a "democratic" selection process.

31. How are Representatives of Low Income Communities Selected for Service on a Tri-Partite Board?

The Board may elect individuals who are themselves low income to serve as representatives of low income communities. In order for individuals who are not themselves low income to be considered as "representing low income communities", they must be chosen in one of the following ways:

- Actual balloting by residents of the low income community
- Election at a community meeting held with proper notice in the low income community
- Selection by community groups which the CAA has designated as being composed primarily of low income people

Details on requirements for election/selection of the low income representatives may be found in Chapter 3 of the CAPLAW CSBG training. The CAPLAW CSBG training can be obtained through this link <http://www.capl原因.org/resources/csbgresources.html>. In addition, one may consult IM-82 for additional guidance with the following link <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im82.html>.

Checklists

Checklist for Strengthening Controls through fully Engaging Low Income Community Representatives

Representatives of low income communities on CAA Boards can make significant contributions toward strengthening internal controls. Their relationships with low income individuals and families and knowledge of community perception and needs are essential for effective controls in a Community Action Agency. If you are a low income community representative, you can use this checklist to identify areas in which you may be able to make a greater contribution to your CAA's internal controls.

How is your CAA benefiting from your experience and understanding of the low income community it serves?	Views are sought & used	Opportunity for Improvement
Low Income Community Representatives are encouraged to:		
• Share community perceptions about the integrity, honesty, and effectiveness of CAA services with management and Board committee conducting risk assessment.		
• Share your perception of community needs, including relative importance and urgency of various need areas as part of the CAA's needs assessment process.		
• Share your perceptions regarding the match between the programs and services the CAA offers and community needs as part of the strategic planning process.		
• Share your perception regarding the effectiveness of the CAA's communication strategies in building broad awareness of the programs and services available to low income individuals and families as part of the <i>strategic planning and evaluation processes</i> .		
• Share your understanding of other community resources, including changes in their availability, that may impact the demand for the CAA's services through the strategic planning process		
• Observe program activities and provide feedback about the treatment of participants and quality of services as part of Board evaluation of programs.		
• Participate actively in the Board's discussion of the annual budget to understand the proposed use of resources and express your views about priorities for the use of unrestricted funds.		
• Other areas in which your knowledge of the community is essential to effective operation of the CAA?		
• Fully understand the role of the Board as a whole and the specific responsibilities of low income community representatives required under the terms of funding agreements, including the tri-partite Board requirements contained in the CSBG Act.		
• Fully understand the financial condition of the CAA, including understanding its monthly financial reports		
• Share your perceptions about the effectiveness of board practices, including the processes used at board and committee meetings, as part of the Board's annual self-evaluation.		
• Raise questions and offer observations based on your experience during Board discussions.		
• Share your observations regarding strategies that would support full participation by all low income representatives including meeting times, locations, the availability of child care, transportation, or other needed assistance, interpretation services, and other factors which could increase participation by low income representatives.		

Program Manager Control Checklist

Program Manager Controls	Implemented Fully	Implemented Partially	Not Implemented
Risk Assessment			
<ul style="list-style-type: none"> You review each new funding agreement related to your program to identify compliance requirements & determine whether adequate control systems are in place to ensure compliance 			
<ul style="list-style-type: none"> You are required to report risks you observe & clear about the process for reporting & investigating your concerns 			
<ul style="list-style-type: none"> You are regularly asked to participate in risk assessment discussions 			
Control Environment			
<ul style="list-style-type: none"> The Board has established an environment which demands honesty and integrity and encourages all staff to report concerns without retaliation 			
<ul style="list-style-type: none"> Management demonstrates the highest standards of honesty & integrity and encourages all staff to report concerns without retaliation 			
<ul style="list-style-type: none"> You seek feedback from staff you supervise to understand their perceptions regarding expectations for honesty and integrity 			
<ul style="list-style-type: none"> Procedures for dealing with concerns about honesty & integrity are clear 			
<ul style="list-style-type: none"> You have confidence that “whistleblowers” will be treated respectfully & will not face retaliation 			
Control Activities			
<ul style="list-style-type: none"> You have meaningful input in the job descriptions and hiring decisions for all positions within your program 			
<ul style="list-style-type: none"> You review & approve the personnel activity reports for all employees you directly supervise 			
<ul style="list-style-type: none"> You utilize consistent procedures to be certain that employees you supervise who function as supervisors are providing meaningful review of personal activity reports for those they supervise 			
<ul style="list-style-type: none"> You are responsible for ensuring that all 			

purchases made through your program are necessary, reasonable, and allowable			
<ul style="list-style-type: none"> You provide input into procurement requirements for goods and services which will be utilized for your program 			
Information Sharing & Communication			
<ul style="list-style-type: none"> You have easy access to current fiscal policies and procedures which are clear and understandable 			
<ul style="list-style-type: none"> You receive regular training regarding changes in fiscal policies and procedures and your responsibilities in regard to maintain fiscal controls 			
<ul style="list-style-type: none"> You have access to information about requirements contained in all funding agreements supporting your program and receive regular training regarding changes or problem areas 			
<ul style="list-style-type: none"> You have adequate time and support to communicate fully with employees you supervise regarding fiscal and program policies and procedures, quality standards, and control expectations 			
<ul style="list-style-type: none"> You provide regular input into the design of training and resource materials to assist staff in understanding and complying with control policies and procedures 			
Monitoring			
<ul style="list-style-type: none"> You systematically review program service data from programs you supervise to ensure that they are complete and accurate 			
<ul style="list-style-type: none"> You review monthly financial data for programs you supervise, comparing actual to budget, and identifying potential errors or omissions 			
<ul style="list-style-type: none"> You fully understand the process to report and resolve program and financial data questions and errors is clear and follow it consistently 			

Board and Board Committees Controls Checklist

Board and Board Committees Controls Checklist	Document Reviewed	Reviewer	Date
1. Board Policies			
• Conflict of Interest			
• CEO Evaluation and Compensation Setting			
• Audit Policy			
• Investment Policy			
• Risk Management Policy			
• Tri-Partite Board Composition			
• Board Role in Needs Assessment & Planning			
2. Implementation of Board Policies			
• Conflict of Interest Procedures			
• CEO Evaluation			
• CEO Compensation Review & Setting			
• Procedure for Auditor selection & audit review			
• Investment performance review			
• Risk management review			
• Board composition review			
• Board participation in needs assessment & strategic planning			
3. Full Board Financial Oversight			
• Establish Finance & Audit Committees			
• Review performance of Finance & Audit Committees			
• Annual budget approval			
• Monthly financial statement review			
• Review of annual independent audit			
4. Finance Committee Checklist			
• Review draft annual budget for consistency with board policy and strategies			
• Recommend annual budget for board approval			
• Review monthly financial statements including Statement of Financial Position, Statement of Activities, and Statement of Cash Flows			
• Review management recommendations for addressing financial challenges and make recommendations to full board			
• Review cash management policies			
• Evaluate use of lines of credit and management proposals for borrowing – forward recommendations for full board approval for borrowing			

5. Check Signer Checklist			
<ul style="list-style-type: none"> Review underlying documentation for all checks to verify proper approvals, consistency in payee and amount and overall reasonableness 			
<ul style="list-style-type: none"> Decline to sign until questions are resolved 			
<ul style="list-style-type: none"> Report repeated errors to Audit Committee 			
6. Audit Committee Responsibilities			
<ul style="list-style-type: none"> Auditor selection 			
<ul style="list-style-type: none"> Establish direct communication with auditor 			
<ul style="list-style-type: none"> Review of audit findings 			
<ul style="list-style-type: none"> Confidential discussion with auditor 			
<ul style="list-style-type: none"> Recommendations to Board and management regarding audit findings 			
<ul style="list-style-type: none"> Evaluate performance of Finance Committee 			
7. Investment Oversight			
<ul style="list-style-type: none"> Policy review and update 			
<ul style="list-style-type: none"> Selection of investment advisors/managers 			
<ul style="list-style-type: none"> Review performance of investment managers 			
8. Board Risk Management Oversight			
<ul style="list-style-type: none"> Review & revised management's risk assessment 			
<ul style="list-style-type: none"> Identify risk appetite/tolerance levels 			
<ul style="list-style-type: none"> Review management's risk mitigation plan 			
<ul style="list-style-type: none"> Obtain periodic independent review of risk assessment & risk mitigation plan 			
<ul style="list-style-type: none"> Review adequacy of insurance coverage 			
<ul style="list-style-type: none"> Advice full Board regarding significant risks which have not been adequately mitigated 			
9. Board Compliance Oversight			
<ul style="list-style-type: none"> Identify Board committee responsible for Compliance Oversight and establish committee charge 			
<ul style="list-style-type: none"> Review compliance findings in independent audit and/or monitoring reports 			
<ul style="list-style-type: none"> Monitor progress in resolving findings and improving compliance 			
<ul style="list-style-type: none"> Review management's structure for achieving compliance 			
<ul style="list-style-type: none"> Discuss management's compliance structure with independent auditor 			

Control Review Checklist

Control	Control documentation reviewed	Reviewed by	Review date
Control Environment			
Conflict of Interest P&P			
Whistleblower Policy			
Code of Ethics/Integrity policy			
Board evaluation of CEO			
Board review of compensation & management capacity			
Board review of monthly financial statements			
Board audit committee/auditor discussions			
Board review of resolution of audit & monitoring findings			
Board review of programmatic accomplishments			
Other			
General Risk Assessment			
External risk review including funding environment, community perception, changing demand/need for services			
Review and update of internal risk identification			
Exposure analysis- ranking of risks by significance of potential losses and likelihood of occurrence			
Contract Compliance Risk Assessment:			
OMB A-110 requirements			
• Allowable activities			
• Allowable cost			
• Cash management			
• Davis Bacon act			
• Eligibility			
• Equip/Real Property management			
• Matching/level of effort			
• Period of availability of fed funds			
• Procurement, suspension & debarment			
• Program income			
• Real property acquisition			
• Reporting			
• Sub recipient monitoring			
• Special tests & provisions			
OMB A-122 requirements			
• Current approved federal indirect cost rate			

<ul style="list-style-type: none"> Monitoring of actual indirect costs in comparison to budget 			

Control	Control documentation reviewed	Reviewed by	Review date
CFR Requirements			
<ul style="list-style-type: none"> Review of CFRs for each funding source Policies & procedures to assure compliance with CFR requirements varying from OMB Circulars 			
Control Activities			
Written fiscal and operational policies & procedures			
Top management review of financial & program activities			
Management reviews at program or functional level			
Controls over info processing/IT			
Physical controls over vulnerable assets			
Review of performance indicators			
Segregation of duties			
Proper execution of transactions & events			
Accurate & timely recording of events			
Access restrictions & accountability for resources & records			
Appropriate documentation of transactions & internal control			
Information & Communication			
Monthly financial reporting at program and organization level			
Monthly program accomplishment reporting at program & organizational level			
Manager access to operational and financial data as needed for planning and oversight			
Structures, policies, and procedures to encourage open information flow among all levels of the organization			
Monitoring			
Monthly comparison of planned program and financial activity to actual reviewed by program managers, top management, & Board			
System for tracking all audit & monitoring findings and their correction or resolution			

Responsibility for achieving correction or resolution of all findings clearly assigned			
Authority to resolve/correct findings clearly assigned			

Control	Control documentation reviewed	Reviewed by	Review date
Monitoring – continued			
Progress resolving/correcting findings monitored regularly by CEO & Board			
Reconciliations to verify financial & program data reports routinely completed and reviewed by managers			

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The Agricultural & Labor Program, Inc.

Community Assessment Survey

12/3/2014

Florida Survey Research Center – University of Florida

Tracy L. Johns, Ph.D.



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Introduction

This project was developed to assist the Agricultural and Labor Program, Inc. (ALPI) in better understanding the service needs and demographic characteristics of low-income children and families in the ALPI service area which includes Polk, Highlands, St. Lucie, Indian River, Okeechobee, Martin, Volusia, Hillsborough (Plant City, Wimauma), Palm Beach (Belle Glade, South Bay), Hendry, Glades, Collier, Orange, Seminole, and Hardee Counties. To this end, two surveys were completed – one with ALPI service recipients and one with community organizations that serve this population.

The service recipient survey was designed to assess the need for and use of various social services for children and adults in the ALPI service area. The survey instrument included a variety of questions about the need for, use of, and level of satisfaction with, services for children and services for adults; child care services; social services; and, demographic characteristics of respondents. The specific categories of questions are as follows:

- Services for Adults (Need, Use, Satisfaction);
- Social Services (Use, Satisfaction);
- Child Care Services (Need, Use);
- Services for Children under Age Five (Need, Use, Satisfaction);
- Health Care for Children;
- Disabilities of Children in Household;
- Demographics:
 - Transportation
 - Housing
 - Household Structure
 - Household Income
 - Race/Ethnicity
 - Employment Status
 - Education
 - Number of Adults and Children in Household
 - Zip Code.

The community organization survey instrument included a variety of questions about organizations and agencies in the area, including services provided and perceived barriers to low-income families receiving assistance in the community. The specific question categories are as follows:

- Basic contact information for the organization/agency
- Types of services the organization/agency provides
- Perceived barriers to low-income families receiving assistance in the community
- Perceived changes in service availability for low-income families in the community
- Perceived changes in service needs in the community
- Perceived need for child care services in the community
 - Current child care providers
 - Barriers to securing child care services
- Additional comments on needs of low-income families in the community

The results of these surveys provide ALPI with a substantial amount of information about the service needs and demographic characteristics of low-income families in the ALPI service, as well as area service providers in the ALPI service area.

Format of the Report

This report is divided into several sections that correspond to the key questions that were asked in the surveys. Results are first presented for the client survey, then for the community organization survey.

The report attempts to enhance the understanding of the survey results by first providing an executive summary. This summary permits a brief review of the results. More detailed information can be obtained from a close reading of the tables and figures in the sections that follow. Each section presents the results of the survey as well as detailed analysis of these results.

Survey Procedure and Methodology

Client Survey

The survey of low-income families in the ALPI service area was conducted jointly by the Florida Survey Research Center (FSRC) and ALPI. The universe of the study is low-income families with children in the Florida counties who are served by ALPI, which includes Polk, Highlands, St. Lucie, Indian River, Okeechobee, Martin, Volusia, Hillsborough (Plant City, Wimauma), Palm Beach (Belle Glade, South Bay), Hendry, Glades, Collier, Orange, Seminole, and Hardee Counties. While there are several different approaches to conducting survey research, such as mail, telephone, and in-person interviews, mail surveys do have advantages in some cases. Since low-income families are less likely to have regular telephone service, and are more likely to be transitory, distribution/mail surveys can be an effective means of reaching these groups.

The FSRC developed the survey instrument, and constructed the survey packets that were distributed to potential respondents by ALPI. The instrument was designed as a four-page booklet, a design proven to promote higher response rates. The survey packets contained a cover letter on FSRC letterhead explaining the purpose of the survey and the survey process, a survey booklet, and a postage-paid return envelope. To best reach all groups of interest, packets were prepared in English, Spanish, and Creole.

The FSRC provided ALPI with survey packets which they distributed in the ALPI service area. The 297 completed surveys were logged-in, data reduced, and analyzed using the SAS statistical analysis package.

In order to ensure that the survey data most accurately represent the true population of ALPI clients, responses were weighted to reflect actual population demographics. The true population's educational attainment was calculated and the sample responses were mathematically adjusted to properly reflect this characteristic. This computation adjusts sample responses to more closely mirror the true population of interest.

Community Organization Survey

The survey of service providers in the ALPI service area was conducted jointly by the Florida Survey Research Center (FSRC) and ALPI. The universe of the study is organizations and agencies in the Florida

counties served by ALPI, including Polk, Highlands, St. Lucie, Indian River, Okeechobee, Martin, Volusia, Hillsborough (Plant City, Wimauma), Palm Beach (Belle Glade, South Bay), Hendry, Glades, Collier, Orange, Seminole, and Hardee Counties.

ALPI developed the survey instrument and the FSRC constructed the survey packets that were mailed to organizations. The instrument was designed as a two-page survey, printed front and back. The survey packets contained a cover letter on FSRC letterhead explaining the purpose of the survey and the survey process, a survey sheet, and a postage-paid return envelope.

The FSRC provided ALPI with 300 survey packets which they mailed to organizations and agencies throughout the ALPI service area. The 39 completed surveys were logged-in, data reduced, and analyzed using the SAS statistical analysis package.

Executive Summary

Adult Services

About four in five (80.8%) respondents reported household need for “Emergency Assistance for Rent, Utilities, Housing, Food, etc.” and nearly three in four (74.3%) respondents said they had used “Emergency Assistance for Rent, Utilities, Housing, and Food.”

About two in five (40.9%) respondents said they need “Adult Health Insurance” while about one in four (27.9%) said that they have used this service. Similarly, about two in five (38.4%) respondents indicated that they need “Employment / Job Placement Services” with about one in four (25.1%) having used such programs. Although about two in five (38.3%) respondents reported a need for “Home-Ownership Programs” only about one in six (17.3%) respondents had used such programs. More than one in three (36.1%) respondents reported a need for “Job Training” while about one in four (27.5%) said they had used it.

Nearly one in three (31.4%) respondents reported a need for “Financial/Credit Counseling” while only about one in eight (13.9%) had actually used these programs. While a similar number of respondents (30.7%) indicated a need for “Public Transportation,” more than one in three (35.9%) respondents said they have used it.

Nearly three in ten (29.5%) respondents reported a need for “High school degree / GED Programs,” with about one in five (21.1%) saying they had used this service. Similarly, nearly three in ten (29.1%) respondents indicated a need for “Legal Services” with about one in five (18.3%) saying they have used these services. About one in four (25.8%) respondents reported a need for “Continuing/Post High School Education” while about one in five (18.5%) said they had used such programs.

About one in five (18.3%) respondents indicated a need for “Literacy/Reading Programs” with more than one in eight (13.5%) having used such programs. One in six (16.7%) respondents reported a need for “Parenting Training” and about one in seven (15.0%) said they had used these services.

The largest unmet need for adult services is “Home-Ownership Programs.” About one in five (21.0%) respondents had unmet needs for “Home-Ownership Programs.” About one in six (17.5%) respondents had an unmet need for “Financial/Credit Counseling.” About one in eight (13.3%) respondents showed an unmet need for “Employment/Job Placement Services,” and a similar number (13.0%) had unmet needs for “Adult Health Insurance.” About one in ten (10.8%) respondents had unmet needs for “Legal Services.”

Fewer than one in ten respondents had unmet needs for “Job Training” (8.6%); “High school degree/GED Programs” (8.4%); “Continuing/ Post High School Education” (7.3%); “Emergency Assistance for Rent, Utilities, Housing, Food, etc.” (6.5%); “Literacy/Reading Programs” (4.8%); or, “Parenting Training” (1.7%).

The respondents were generally satisfied with the adult services that they received. More than nine in ten respondents were either “Very Satisfied” or “Somewhat Satisfied” with each of the adult services they utilized. “Parenting Training” (92.6%) and “Home Ownership Programs” (89.0%) had the highest reported levels of satisfaction with services received. “Legal Services” (6.5%) and “Employment/Job Placement Services” (6.2%) had the highest percentages of users who reported they were “Not Satisfied” with services received.

Social Services

About seven in ten (71.2%) respondents used services provided “Access Florida” and a similar number (70.9%) used services provided by the “Department of Children and Families. Nearly two in three (65.1%) respondents used services provided by the “Agricultural and Labor Program (ALPI)” and nearly as many (64.4%) used services provided by the “Health Department/Walk-in Clinics.”

About two in five respondents used the services of the “Salvation Army” (39.3%) or “Workforce Development” (39.2%). More than one in four respondents said they used services provided by either “Catholic Charities” (28.4%) or the “Community Services Department” (25.5%). Nearly one in four (23.6%) respondents used the services of the “United Way.”

Again, the respondents are generally satisfied with the services they received from a variety of agencies that provide social services. More than four in five respondents are either “Very Satisfied” or “Somewhat Satisfied” with services they received from each of the organizations noted.

The highest level of satisfaction is with the “Agricultural and Labor Program (ALPI)” – more than four in five (86.6%) respondents who received services from ALPI were “Very Satisfied” with those services. Similarly, more than four in five (86.5%) respondents who used the services of “United Way” were “Very Satisfied” with the services they received, and nearly as many (79.0%) respondents who received services at “Catholic Charities” were “Very Satisfied.”

More than two in three respondents who received services from the “Community Services Department” (71.2%) or the “Salvation Army” (68.2%) were “Very Satisfied,” and about the same percentage were “Very Satisfied” with services they received from the “Department of Children and Families” (65.4%), “Access Florida” (65.4%) , or the “Health Department/Walk-in Clinics” (64.7%).

The highest level of dissatisfaction was with services provided by “Workforce Development”; one in ten (10.3%) respondents who used services provided by “Workforce Development” reported that they were “Not at All Satisfied” with the services they received.

Children’s Services

More than half (54.4%) of the respondents who have children under the age of five reported that they need child care “In the morning, before 7:30 AM” but just one in five (20.0%) said they currently use this type of care. About two in five (40.8%) respondents with children under the age of five said they need child care “In the afternoon, after 5:30 PM,” while fewer than one in ten (7.4%) currently use it. A

similar number of respondents with young children, about two in five (38.9%), reported a need for child care “12 Months of the Year,” while about one in seven (13.6%) currently use this service.

About three in ten respondents with young children indicated a need for child care on either “Holidays” (28.1%) or “Weekends” (27.1%), though few use these services. About one in six (17.2%) respondents with children under age five reported a need for “Over-night” child care and almost none currently use this type of service.

The largest unmet needs for child care services are for child care “In the morning, before 7:30 AM” and “In the afternoon, after 5:30 PM.” About one in three respondents with children under the age of five has unmet needs for child care before 7:30 AM and after 5:30 PM. About one in four respondents with young children have an unmet need for child care “12 Months of the year” (25.3%); on holidays (24.0%); or, on weekends (23.1%). About one in six (17.0%) of these respondents have an unmet need for over-night child care.

About two in three (66.9%) respondents with children under age five reported needing “Dental Services” for their children with about half (48.5%) saying they had used such services. About two in three (65.6%) respondents with young children indicated a need for “Pre-Kindergarten Programs” for their children under age five and a similar number (63.2%) had used such services. About three in five (62.2%) respondents with children under age five reported needing “Child Care” for their children with almost as many (55.5%) saying they had used such services.

About three in five (57.7%) respondents with children under age five indicated a need for the services of the “Women, Infant, and Children (WIC) Program” for their children and about two in three (65.8%) said they had ever used these services.

About three in seven respondents with children under the age of five reported needing the following services for their children: “Nutritional Services” (45.8%); “Vision Services” (45.2%); “Speech Therapy” (44.6%); or, “Mental Health Services” (40.7%).

Most of the respondents who needed services for their children under the age of five actually received those services. The biggest unmet need for services is for “Dental Services,” where nearly one in five (18.4%) respondents who reported needing those services for their children had not used them. About one in ten (10.7%) respondents who indicated a need for “Vision Services” had an unmet need; similar percentages showed unmet needs for “Nutritional Services” (7.9%), “Mental Health” services (7.0%), and “Child Care” services (6.7%).

There is a very high level of satisfaction with services for children under the age of five. More than four in five respondents who used these services for their children were either “Very Satisfied” or “Somewhat Satisfied” with them. The highest levels of satisfaction were for “Vision Services” (95.5%) and “Pre-Kindergarten Programs” (92.7%) – more than nine in ten respondents who used these programs were “Very Satisfied.” Respondents were least satisfied with “Nutritional Services” they used for their children – nearly one in ten (7.1%) respondents who used these services was “Not at All Satisfied” with them.

About nine in ten (90.9%) respondents currently have health care insurance for their children. Fewer than one in ten (8.0%) respondents do not currently have health care insurance for their children. Three in four (74.6%) respondents whose children currently have health insurance indicated that they had

health insurance for their children from Medicaid/Medipass. Three in ten (29.3%) of these respondents use “Children’s Medical Services” as a source of health insurance for their children. About one in five (18.5%) respondents with insurance for their children obtained health insurance from the “Healthy Kids” program. About one in eight (13.1%) of these respondents had “Private Insurance” for their children.

About one in four (24.2%) respondents with children under age five report having children in their households who have ever been diagnosed with either a physical or mental disability. The most frequently cited disabilities that respondents’ children had been diagnosed with were various types of speech-related disabilities (n=6) and ADHD / ADD (n=4) and. Two of the respondents noted children in their households with “Asthma,” and two note behavioral disorders.

The most frequently cited services that respondents’ children had been received were speech therapy (n=6) and various services from Children’s Medical Services (CMS) (n=3). Two of the respondents noted children in their households received physical therapy and two received occupational therapy.

Demographics

More than three in five (63.0%) respondents said they most often rely on their “Own car” for transportation, while about one in four (26.4%) said they rely on “Friends or Family members.” Fewer than one in ten (5.3%) respondents indicated they most often rely on “Public Transportation.” In addition, one respondent said he or she relies on the “Medicaid Van,” one said he or she relies on a “bicycle,” and one said he or she relies on “walking.”

Two in five (39.8%) respondents said they live in an apartment or house that they rent without subsidies. More than one in four (28.3%) respondents said they live in a house that they own. Nearly one in four (23.3%) respondents indicated living in an apartment or house that they rent with subsidies (such as Section 8 vouchers). Fewer than one in ten respondents said they live in manufactured housing/mobile homes (5.2%) or a condominium/townhouse (1.9%).

About half (50.7%) of the respondents live in a “Single mother household.” One in five (19.9%) respondents said they live in a “Mother and father household.” One in ten (10.4%) respondents said they live in a household with a grandparent or other family member as head of household. Fewer than one in ten respondents reported living in either a “Single father household” (2.9%) or “Foster-parent” household (1.3%).

One in four (25.4%) respondents reported a total household income before taxes below \$5,000. About one in six (17.5%) respondents reported a household income between \$5,000 and \$10,000, and about one in ten (8.5%) cited a household income between \$10,001 and \$15,000. About one in five (21.5%) respondents indicated a household income between \$15,001 and \$20,000. Fewer than one in ten respondents reported a household income: between \$20,001 and \$25,000 (6.7%); between \$25,001 and \$30,000 (4.6%); between \$30,001 and \$35,000 (2.8%); or, more than \$35,000 (3.9%).

About seven in ten (72.2%) respondents said they are “African American/Black.” About one in seven (14.9%) respondents said they are “White/Caucasian,” and about one in ten (9.0%) respondents indicated they are “Latino/Hispanic.” Fewer than one in ten respondents indicated they are “Asian” (1.4%) or “Biracial/Multiracial” (0.7%).

About three in ten (30.7%) respondents said they are “Not employed.” More than one in four (26.1%) respondents indicated that they are “Disabled” and about one in five (22.1%) said they are “Employed”

full-time.” One in ten (10.1%) respondents said they are “Retired.” Fewer than one in ten (7.8%) respondents indicated that they are “Employed part-time.”

More than half (55.1%) of the respondents indicated they have a high school diploma or GED certificate, and about one in four (24.5%) said they had some high school education but had not graduated from high school. About one in ten (11.1%) respondents had an 8th grade education or less. About three percent of the respondents said they had some college and about seven percent said they have a college degree.

About one in four (24.3%) respondents said they live alone. One in five (20.4%) respondents indicated they live in households that have two people. About one in eight (13.1%) respondents live in households that have three people and a similar number (12.9%) lives in four-person households. About one in ten (10.9%) respondents live in five-person households. About one in five (18.5%) respondents live in households with six or more people.

Nearly three in five (58.7%) respondents indicated that no children, age five or younger, live in their household. About one in six (16.9%) respondents said that one child, age five or younger, lives in their household. About one in ten (11.9%) respondents indicated that two children, age five or younger, live in their households. Fewer than one in ten respondents said three (7.2%), four (3.4%), or five or more (2.0%) children, age five or younger live in their households.

Respondents with children age five and younger (n=116) provided ages for a total of 175 children. Of these children, about one in four (23.4%) were one year old and about one in five (21.1%) were two years old. About one in six (16.0%) of these children were three years old. About one in five of these children were either four years old (20.6%) or five years old (18.9%).

Results: Client Survey

Adult Services

The survey first asked respondents a series of questions about 12 services for adults. The services included in this section are as follows:

- Emergency assistance for rent, utilities, food, housing, etc.;
- Public transportation;
- Job training;
- Parenting training;
- Home-ownership programs;
- Literacy/Reading programs;
- High school degree/GED programs;
- Continuing/Post high school education programs;
- Adult health-care insurance;
- Employment/placement services;
- Legal services;
- Financial/Credit counseling.

Use of Adult Services

The survey asked respondents if any adults in their households **need** the service or program, if they have actually **used** the service or program, and, if they have used the service, their **level of satisfaction** with the service. Table 1 presents the percentage of adult respondents who need and/or use each service.

Table 1: Need and Use of Adult Services

Service	Need	Use
Emergency Assistance for Rent, Utilities, Housing, Food, etc.	80.8%	74.3%
Adult Health Insurance	40.9%	27.9%
Employment/Job Placement Services	38.4%	25.1%
Home-ownership Programs	38.3%	17.3%
Job Training	36.1%	27.5%
Financial/Credit Counseling	31.4%	13.9%
Public Transportation	30.7%	35.9%
High school degree/GED Programs	29.5%	21.1%
Legal Services	29.1%	18.3%
Continuing/Post High School Education	25.8%	18.5%
Literacy/Reading Programs	18.3%	13.5%
Parenting Training	16.7%	15.0%

About four in five (80.8%) respondents reported household need for “Emergency Assistance for Rent, Utilities, Housing, Food, etc.” and nearly three in four (74.3%) respondents said they had used “Emergency Assistance for Rent, Utilities, Housing, and Food.”

About two in five (40.9%) respondents said they need “Adult Health Insurance” while about one in four (27.9%) said that they have used this service. Similarly, about two in five (38.4%) respondents indicated

that they need “Employment / Job Placement Services” with about one in four (25.1%) having used such programs. Although about two in five (38.3%) respondents reported a need for “Home-Ownership Programs” only about one in six (17.3%) respondents had used such programs. More than one in three (36.1%) respondents reported a need for “Job Training” while about one in four (27.5%) said they had used it.

Nearly one in three (31.4%) respondents reported a need for “Financial/Credit Counseling” while only about one in eight (13.9%) had actually used these programs. While a similar number of respondents (30.7%) indicated a need for “Public Transportation,” more than one in three (35.9%) respondents said they have used it.

Nearly three in ten (29.5%) respondents reported a need for “High school degree / GED Programs,” with about one in five (21.1%) saying they had used this service. Similarly, nearly three in ten (29.1%) respondents indicated a need for “Legal Services” with about one in five (18.3%) saying they have used these services. About one in four (25.8%) respondents reported a need for “Continuing/Post High School Education” while about one in five (18.5%) said they had used such programs.

About one in five (18.3%) respondents indicated a need for “Literacy/Reading Programs” with more than one in eight (13.5%) having used such programs. One in six (16.7%) respondents reported a need for “Parenting Training” and about one in seven (15.0%) said they had used these services.

Unmet Need for Adult Services

The next analysis in this series on adult services is designed to provide a rough estimate of the unmet need for services. The unmet need for adult services is calculated by subtracting the percentage of respondents who have used a service from the percentage who indicate that they need a service. We caution that this is only a rough estimate of unmet need, but it does provide an indication of the categories of services in which additional services could be provided. The results of the analysis of unmet need are presented in Table 2.

Table 2: Estimated Unmet Need for Adult Services

Service	Unmet Need
Home-ownership Programs	21.0%
Financial/Credit Counseling	17.5%
Employment/Job Placement Services	13.3%
Adult Health Insurance	13.0%
Legal Services	10.8%
Job Training	8.6%
High school degree/GED Programs	8.4%
Continuing/Post High School Education	7.3%
Emergency Assistance for Rent, Utilities, Housing, Food, etc.	6.5%
Literacy/Reading Programs	4.8%
Parenting Training	1.7%
Public Transportation	N/A

The largest unmet need for adult services is “Home-Ownership Programs.” About one in five (21.0%) respondents had unmet needs for “Home-Ownership Programs.” About one in six (17.5%) respondents

had an unmet need for “Financial/Credit Counseling.” About one in eight (13.3%) respondents showed an unmet need for “Employment/Job Placement Services,” and a similar number (13.0%) had unmet needs for “Adult Health Insurance.” About one in ten (10.8%) respondents had unmet needs for “Legal Services.”

Fewer than one in ten respondents had unmet needs for “Job Training” (8.6%); “High school degree/GED Programs” (8.4%); “Continuing/ Post High School Education” (7.3%); “Emergency Assistance for Rent, Utilities, Housing, Food, etc.” (6.5%); “Literacy/Reading Programs” (4.8%); or, “Parenting Training” (1.7%).

Level of Satisfaction with Adult Services

The last part of this series on adult services asked respondents who have actually used the services to indicate their level of satisfaction with the services. The possible responses to this question are “Very Satisfied,” “Somewhat Satisfied,” and “Not Satisfied.” The responses to this question are presented in Table 3.

Table 3: Level of Satisfaction with Adult Services

Service	Very Satisfied	Somewhat Satisfied	Not Satisfied
Parenting Training	92.6%	7.4%	0.0%
Home-Ownership Programs	89.0%	10.1%	0.8%
High School Degree/GED Programs	83.3%	12.6%	4.1%
Financial/Credit Counseling	80.4%	19.6%	0.0%
Emergency Assistance for Rent, Utilities, Food, etc.	79.8%	17.9%	2.3%
Adult Health Insurance	79.3%	15.7%	5.0%
Literacy/Reading Programs	78.4%	21.6%	0.0%
Continuing/Post High School Education	78.0%	22.0%	0.0%
Employment/Job Placement Services	73.7%	20.1%	6.2%
Legal Services	70.6%	22.9%	6.5%
Job Training	68.0%	31.4%	0.5%
Public Transportation	67.8%	29.5%	2.7%

The respondents were generally satisfied with the adult services that they received. More than nine in ten respondents were either “Very Satisfied” or “Somewhat Satisfied” with each of the adult services they utilized.

“Parenting Training” (92.6%) and “Home Ownership Programs” (89.0%) had the highest reported levels of satisfaction with services received.

“Legal Services” (6.5%) and “Employment/Job Placement Services” (6.2%) had the highest percentages of users who reported they were “Not Satisfied” with services received.

Social Services

The survey next asked respondents about a variety of agencies that make social services available to those in need. For each agency, the respondent was asked to indicate if he/she uses the services provided by the agency and, if used, the level of satisfaction with the services provided by the agency. The agencies included in this question are as follows:

- Agricultural and Labor Program (ALPI);
- Salvation Army;
- United Way;
- Catholic Charities;
- Department of Children and Families;
- Health Department/Walk-in Clinics;
- Workforce Development;
- Community Services Department;
- Access Florida;
- Other.

Use of Social Services

Table 4 presents the percentage of respondents who indicate that they have used the services provided by the various organizations listed in the survey.

Table 4: Use of Social Services

Services	Use
Access Florida	71.2%
Department of Children and Families	70.9%
Agricultural and Labor Program (ALPI)	65.1%
Health Department/Walk-in Clinics	64.4%
Salvation Army	39.3%
Workforce Development	39.2%
Catholic Charities	28.4%
Community Services Department	25.5%
United Way	23.6%
Other (described below)	21.4%

About seven in ten (71.2%) respondents used services provided by “Access Florida” and a similar number (70.9%) used services provided by the “Department of Children and Families.” Nearly two in three (65.1%) respondents used services provided by the “Agricultural and Labor Program (ALPI)” and nearly as many (64.4%) used services provided by the “Health Department/Walk-in Clinics.”

About two in five respondents used the services of the “Salvation Army” (39.3%) or “Workforce Development” (39.2%). More than one in four respondents said they used services provided by either “Catholic Charities” (28.4%) or the “Community Services Department” (25.5%). Nearly one in four (23.6%) respondents used the services of the “United Way.”

In addition, about one-fifth (21.4%) of the respondents indicated “Other” social services they use. The two respondents who described these services noted: “POK Work” and “EBT.”

Satisfaction with Services Provided by Organizations

Next, respondents who have used the services provided by these organizations were asked to indicate their satisfaction with these services. The possible responses to this question are “Very Satisfied,” “Somewhat Satisfied,” or “Not at All Satisfied” with the services provided by the organization. The responses to the satisfaction question are provided in Table 5.

Table 5: Level of Satisfaction with Social Services

Services	Very Satisfied	Somewhat Satisfied	Not Satisfied
Agricultural and Labor Program (ALPI)	86.6%	10.7%	2.7%
United Way	86.5%	8.7%	4.8%
Catholic Charities	79.0%	16.7%	4.3%
Community Services Department	71.2%	28.3%	0.6%
Salvation Army	68.2%	24.6%	7.2%
Department of Children and Families	65.4%	27.8%	6.8%
Access Florida	65.4%	29.8%	4.9%
Health Department/Walk-in Clinics	64.7%	33.3%	2.1%
Workforce Development	56.8%	32.9%	10.3%

Again, the respondents are generally satisfied with the services they received from a variety of agencies that provide social services. More than four in five respondents are either “Very Satisfied” or “Somewhat Satisfied” with services they received from each of the organizations noted.

The highest level of satisfaction is with the “Agricultural and Labor Program (ALPI)” – more than four in five (86.6%) respondents who received services from ALPI were “Very Satisfied” with those services. Similarly, more than four in five (86.5%) respondents who used the services of “United Way” were “Very Satisfied” with the services they received, and nearly as many (79.0%) respondents who received services at “Catholic Charities” were “Very Satisfied.”

More than two in three respondents who received services from the “Community Services Department” (71.2%) or the “Salvation Army” (68.2%) were “Very Satisfied,” and about the same percentage were “Very Satisfied” with services they received from the “Department of Children and Families” (65.4%), “Access Florida” (65.4%) , or the “Health Department/Walk-in Clinics” (64.7%).

The highest level of dissatisfaction was with services provided by “Workforce Development”; one in ten (10.3%) respondents who used services provided by “Workforce Development” reported that they were “Not at All Satisfied” with the services they received.

Children’s Services

The next series of questions in the survey asked respondents a number of questions about children under the age of five who reside in their households and the various services that these children might need. The following sections provide detailed information about these children and their need for and use of various services.

Child Care Services

The survey asked respondents about their need for child care services. The child care services included in this question are as follows:

- In the morning, before 7:30 a.m.;
- In the afternoon, after 5:30 p.m.;
- Over-night child care;
- Weekend child care;
- Holiday child care;
- 12 months of the year care.

This question first asked respondents if the child care service is needed and then if they currently use this type of child care. Table 6 presents the results of the percentage of respondents who need and/or use various child care services. (Note: Level of satisfaction with child care services was not asked.)

Table 6: Need and Use of Child Care Services

Services	Need	Use
In the morning, before 7:30 AM	54.4%	20.0%
In the afternoon, after 5:30 PM	40.8%	7.4%
12 months of the year	38.9%	13.6%
Holidays	28.1%	4.1%
Weekends	27.1%	4.0%
Over-night	17.2%	0.2%

More than half (54.4%) of the respondents who have children under the age of five reported that they need child care “In the morning, before 7:30 AM” but just one in five (20.0%) said they currently use this type of care. About two in five (40.8%) respondents with children under the age of five said they need child care “In the afternoon, after 5:30 PM,” while fewer than one in ten (7.4%) currently use it. A similar number of respondents with young children, about two in five (38.9%), reported a need for child care “12 Months of the Year,” while about one in seven (13.6%) currently use this service.

About three in ten respondents with young children indicated a need for child care on either “Holidays” (28.1%) or “Weekends” (27.1%), though few use these services. About one in six (17.2%) respondents with children under age five reported a need for “Over-night” child care and almost none currently use this type of service.

Unmet Need for Child Care Services

The last analysis of this series on child care services is designed to provide an estimate of the unmet need for services. The unmet need for child care services is calculated by subtracting the percentage of respondents who currently use a service from the percentage who indicate that they need the service. It is important to note that this is only an approximate estimate of unmet need, but does provide some indication of the child care services that might be used if made available. The results of the analysis of unmet need are presented in Table 7.

Table 7: Unmet Need for Child Care Services

Services	Unmet Need
In the morning, before 7:30 AM	34.4%
In the afternoon, after 5:30 PM	33.4%
12 Months of the year	25.3%
Holidays	24.0%
Weekends	23.1%
Over-night	17.0%

The largest unmet needs for child care services are for child care “In the morning, before 7:30 AM” and “In the afternoon, after 5:30 PM.” About one in three respondents with children under the age of five has unmet needs for child care before 7:30 AM and after 5:30 PM.

About one in four respondents with young children have an unmet need for child care “12 Months of the year” (25.3%); on holidays (24.0%); or, on weekends (23.1%). About one in six (17.0%) of these respondents have an unmet need for over-night child care.

Use of Services for Children under Age Five

The survey next asked respondents a series of questions about services for children under the age of five. The specific services that the survey asked about are as follows:

- Pre-Kindergarten Programs;
- Dental Services;
- Mental Health Services;
- Vision Services;
- Nutritional Services;
- Speech Therapy;
- Women, Infants and Children (WIC) Program;
- Child care.

The survey first asked respondents if they need each of the services, then, if they have ever used the service, and, if they have used the service, the level of satisfaction with the service. Table 8 presents the responses regarding the need and use of services for children under age five.

Table 8: Need and Use of Children’s Services

Services	Need	Ever Used
Dental Services	66.9%	48.5%
Pre-Kindergarten Programs	65.6%	63.2%
Child Care	62.2%	55.5%
Women, Infant and Children (WIC) Program	57.7%	65.8%
Nutritional Services	45.8%	37.9%
Vision Services	45.2%	34.5%
Speech Therapy	44.6%	44.6%
Mental Health Services	40.7%	33.7%

About two in three (66.9%) respondents with children under age five reported needing “Dental Services” for their children with about half (48.5%) saying they had used such services. About two in three (65.6%) respondents with young children indicated a need for “Pre-Kindergarten Programs” for their children under age five and a similar number (63.2%) had used such services. About three in five (62.2%) respondents with children under age five reported needing “Child Care” for their children with almost as many (55.5%) saying they had used such services.

About three in five (57.7%) respondents with children under age five indicated a need for the services of the “Women, Infant, and Children (WIC) Program” for their children and about two in three (65.8%) said they had ever used these services.

About three in seven respondents with children under the age of five reported needing the following services for their children: “Nutritional Services” (45.8%); “Vision Services” (45.2%); “Speech Therapy” (44.6%); or, “Mental Health Services” (40.7%).

Unmet Needs for Services for Children under Age Five

To provide an estimate of the unmet need for services, we calculate an “unmet need score” by subtracting the number of respondents that have used a service from the number that indicate a need for the service. This score is only approximate and must be used carefully, but it does provide some relative measure of services that, if made available, might be used. The unmet need scores for services for children under the age of five are presented in Table 9.

Table 9: Unmet Need for Children’s Services

Services	Unmet Need
Dental Services	18.4%
Vision Services	10.7%
Nutritional Services	7.9%
Mental Health Services	7.0%
Child Care	6.7%
Pre-Kindergarten Programs	2.4%
Speech Therapy	N/A
Women, Infant and Children (WIC) Program	N/A

Most of the respondents who needed services for their children under the age of five actually received those services. The biggest unmet need for services is for “Dental Services,” where nearly one in five (18.4%) respondents who reported needing those services for their children had not used them. About one in ten (10.7%) respondents who indicated a need for “Vision Services” had an unmet need; similar percentages showed unmet needs for “Nutritional Services” (7.9%), “Mental Health” services (7.0%), and “Child Care” services (6.7%).

Satisfaction with Services for Children under Age Five

Table 10 presents the results on level of satisfaction with services for children under the age of five. The results in this table are calculated only for those respondents who indicate that they have used the service.

Table 10: Level of Satisfaction with Children’s Services

Services	Very Satisfied	Somewhat Satisfied	Not Satisfied
Vision Services	95.5%	4.5%	0.0%
Pre-Kindergarten Programs	92.7%	4.8%	2.6%
Mental Health Services	87.3%	8.8%	3.9%
Child Care	85.3%	14.3%	0.4%
Dental Services	83.2%	16.4%	0.4%
Nutritional Services	80.1%	12.7%	7.1%
Speech Therapy	79.3%	16.2%	4.5%
Women, Infant and Children (WIC) Program	78.2%	17.4%	4.4%

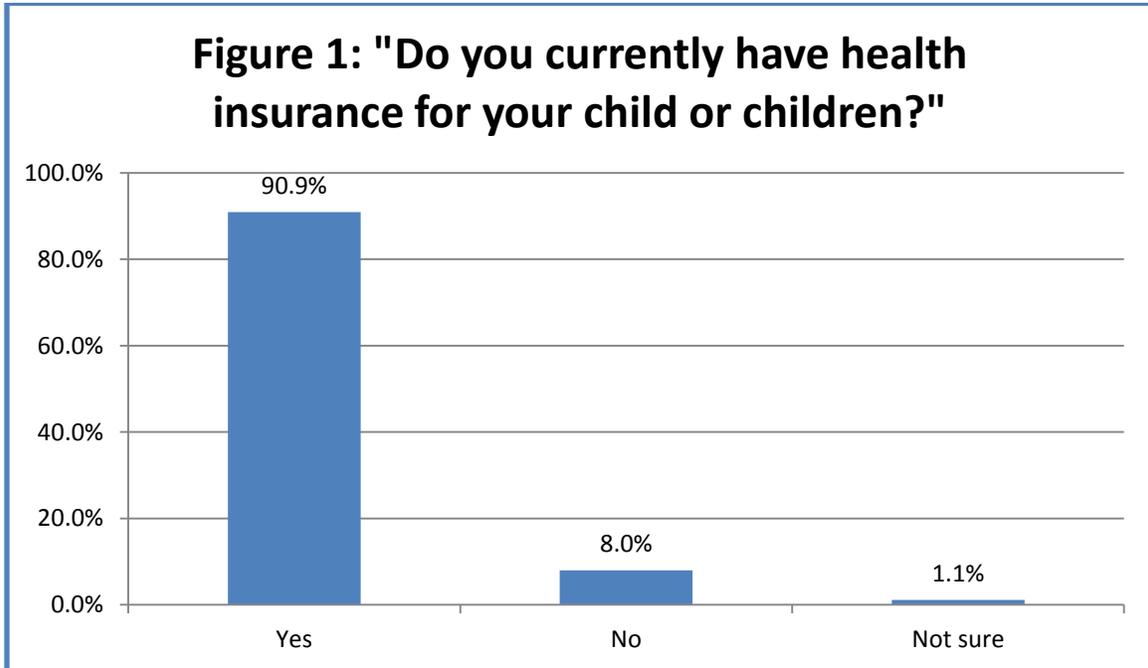
There is a very high level of satisfaction with services for children under the age of five. More than four in five respondents who used these services for their children were either “Very Satisfied” or “Somewhat Satisfied” with them.

The highest levels of satisfaction were for “Vision Services” (95.5%) and “Pre-Kindergarten Programs” (92.7%) – more than nine in ten respondents who used these programs were “Very Satisfied.”

Respondents were least satisfied with “Nutritional Services” they used for their children – nearly one in ten (7.1%) respondents who used these services was “Not at All Satisfied” with them.

Health Care Insurance for Children

The survey next asked respondents if they currently have health insurance for their children. The percentage of respondents indicating that they have health insurance for their children is presented in Figure 1.



About nine in ten (90.9%) respondents currently have health care insurance for their children. Fewer than one in ten (8.0%) respondents do not currently have health care insurance for their children.

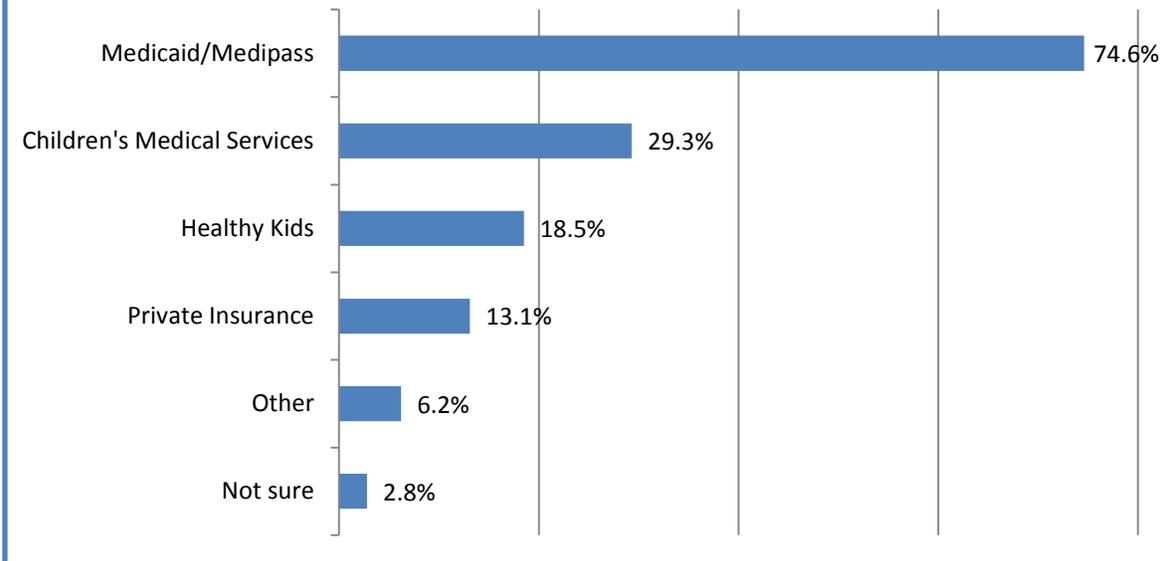
Types of Health Insurance

The survey next asked those respondents who reported that they have health insurance for their children to indicate the type(s) of health insurance that they have. The types of health insurance provided as responses are as follows:

- Children's Medical Services;
- Private Insurance;
- Healthy Kids;
- Medicaid/Medipass;
- Other.

As respondents were allowed to choose more than one type of insurance, the total percentage could add up to more than 100 percent. The responses to this question are summarized in Figure 2.

Figure 2: Types of Health Care for Children

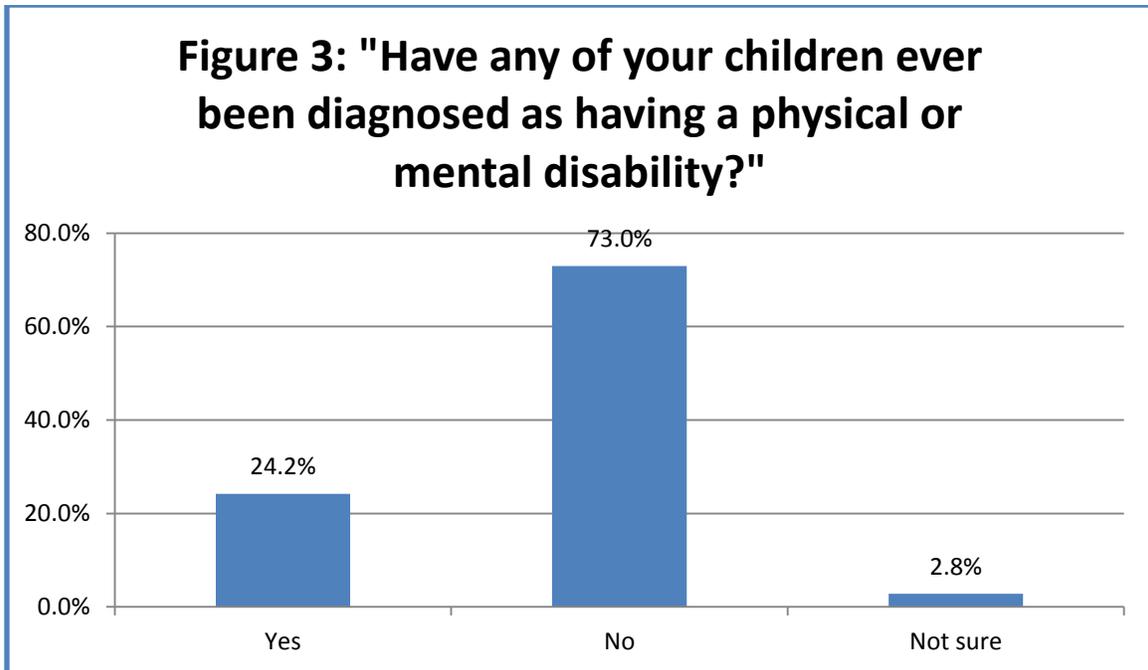


Three in four (74.6%) respondents whose children currently have health insurance indicated that they had health insurance for their children from Medicaid/Medipass. Three in ten (29.3%) of these respondents use “Children’s Medical Services” as a source of health insurance for their children. About one in five (18.5%) respondents with insurance for their children obtained health insurance from the “Healthy Kids” program. About one in eight (13.1%) of these respondents had “Private Insurance” for their children.

In addition, about six percent of these respondents indicated “Other” type of insurance they have for their children: two utilize “Staywell”; one cited “Obamacare”; and, one cited “Smartgroup.”

Diagnosis of Disability for Children in Household

The next question in this series asked respondents to indicate if any of the children in their households have ever been diagnosed with either a physical or mental disability. The responses to this question are presented in Figure 3.



About one in four (24.2%) respondents with children under age five report having children in their households who have ever been diagnosed with either a physical or mental disability.

Types of Disabilities

Respondents who indicated that a child in their household had been diagnosed with either a physical or mental disability were asked to list the specific type of disability. A list of the types of disabilities noted by the respondents is provided below. Respondents could note more than one disability.

Types of Disabilities Noted

Response	Frequency
Speech / Speech Delay	6
ADHD / ADD	4
Blindness/Congenital Cataracts	3
Asthma	2
Behavior Disorder / Behavioral Problems	2
Developmentally Delayed	1
Bipolar	1
Depression	1
Borderline Personality Disorder	1
Hearing	1
DS	1
Hydronephrosis	1
Bladder	1
Lungs	1

**Note: Frequencies for open-ended responses are not weighted.*

The most frequently cited disabilities that respondents' children had been diagnosed with were various types of speech-related disabilities (n=6), ADHD / ADD (n=4), and blindness/eye disorders (n=3). Two of the respondents noted children in their households with "Asthma," and two note behavioral disorders.

Services Related to Disabilities

Respondents who indicated that a child in their household had been diagnosed with either a physical or mental disability were asked to list the specific types of services they have received related to these physical or mental disabilities. A list of the types of services noted by the respondents is provided below. Respondents could note more than one service.

Types of Services Noted

Response	Frequency
Speech Therapy	6
Children's Medical Services (CMS)	3
Physical Therapy	2
Occupational Therapy	2
Sweet Center in WH / Kids Neurology in Lakeland	1
Hearing aid	1
Behavioral Therapy	1
Glasses	1
Surgery	1
Medication	1
Psychiatrist	1
Family Preservations	1

**Note: Frequencies for open-ended responses are not weighted.*

The most frequently cited services that respondents' children had received were speech therapy (n=6) and various services from Children's Medical Services (CMS) (n=3). Two of the respondents noted children in their households received physical therapy and two received occupational therapy.

Demographics

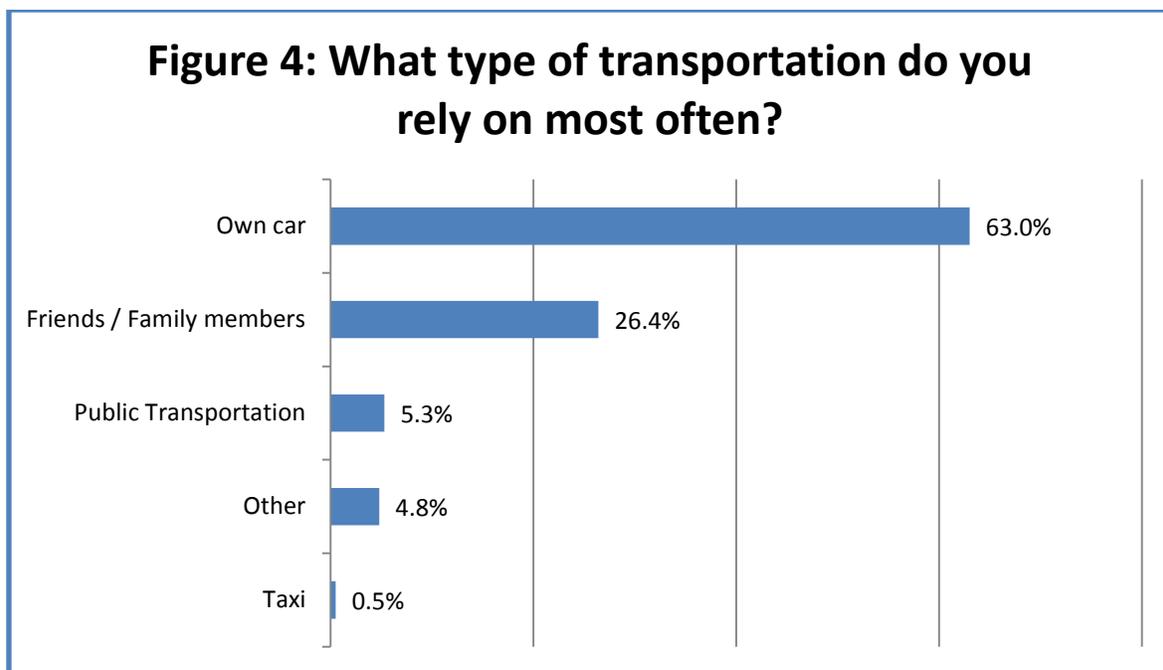
The last series of questions in the survey asked respondents to provide information on the background of their households. The questions in this section sought to obtain information on the types of transportation the respondents rely on most often, the types of housing they live in, the structure of their households, their households' total income before taxes, their employment status, their levels of education, and related information. A summary of this household background information is presented in the following section.

Transportation Services

The first question in this section asked respondents to indicate the type of transportation that they rely on most often. The possible options for this question are as follows:

- Own car;
- Friends or family members;
- Taxi;
- Public transportation;
- Other.

The responses to this question are presented in Figure 4.



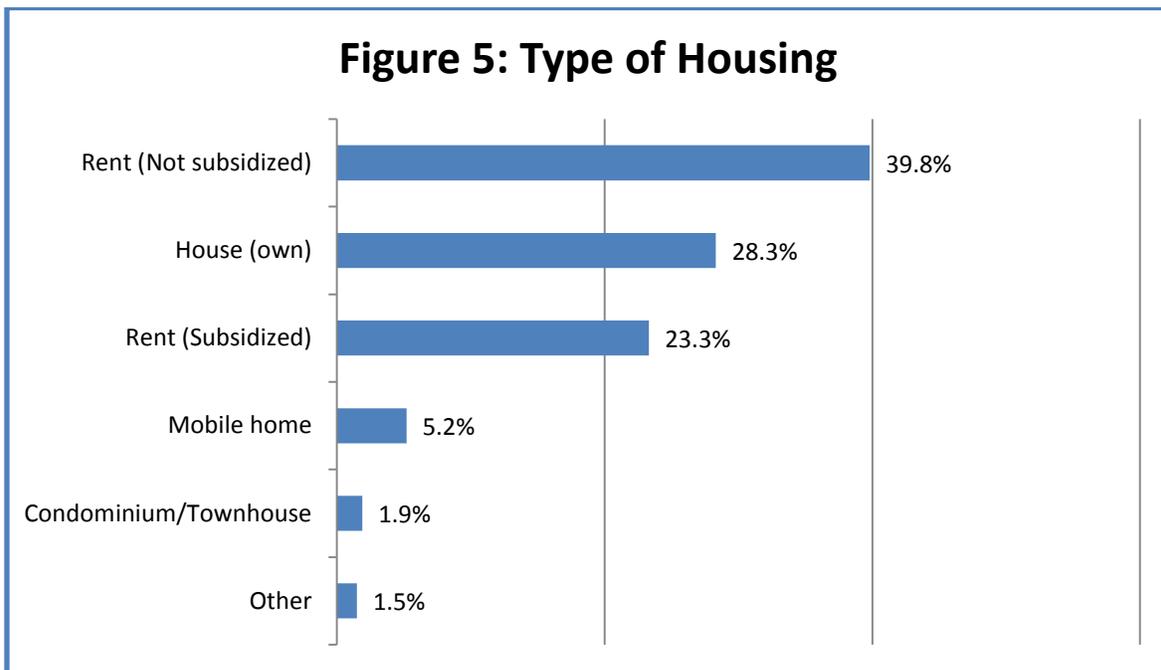
More than three in five (63.0%) respondents said they most often rely on their "Own car" for transportation, while about one in four (26.4%) said they rely on "Friends or Family members." Fewer than one in ten (5.3%) respondents indicated they most often rely on "Public Transportation." In addition, one respondent said he or she relies on the "Medicaid Van," one said he or she relies on a "bicycle," and one said he or she relies on "walking."

Type of Housing

The next question in the section on household characteristics asked each respondent to indicate the type of housing in which he or she resides. The possible responses to this question are as follows:

- House (own);
- Condominium/Townhouse;
- Rent Apartment/House (not subsidized);
- Manufactured Housing (Mobile Home);
- Rent Apartment/House (Section 8, subsidized);
- Other.

The responses to this question are presented in Figure 5.



Two in five (39.8%) respondents said they live in an apartment or house that they rent without subsidies. More than one in four (28.3%) respondents said they live in a house that they own. Nearly one in four (23.3%) respondents indicated living in an apartment or house that they rent with subsidies (such as Section 8 vouchers). Fewer than one in ten respondents said they live in manufactured housing/mobile homes (5.2%) or a condominium/townhouse (1.9%).

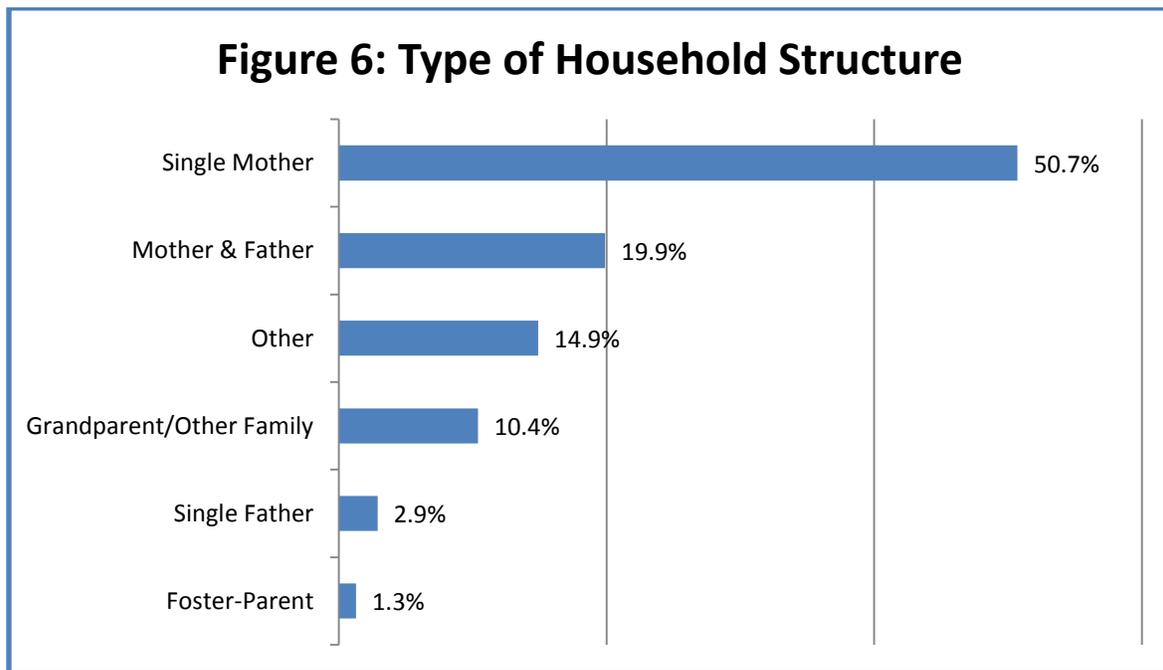
In addition, one respondent reported being homeless and one reported living with a relative.

Household Structure

The next question in this section asked the survey respondents to identify the types of households in which they live. The possible responses to this question included the following:

- Single mother household;
- Single father household;
- Mother and father household;
- Foster-parent household;
- Grandparent/other family household;
- Other type of household.

The results of this question are presented in Figure 6.



About half (50.7%) of the respondents live in a “Single mother household.” One in five (19.9%) respondents said they live in a “Mother and father household.” One in ten (10.4%) respondents said they live in a household with a grandparent or other family member as head of household. Fewer than one in ten respondents reported living in either a “Single father household” (2.9%) or “Foster-parent” household (1.3%). In addition, about 15 percent of the respondents noted “Other” types of households. These responses appear below.

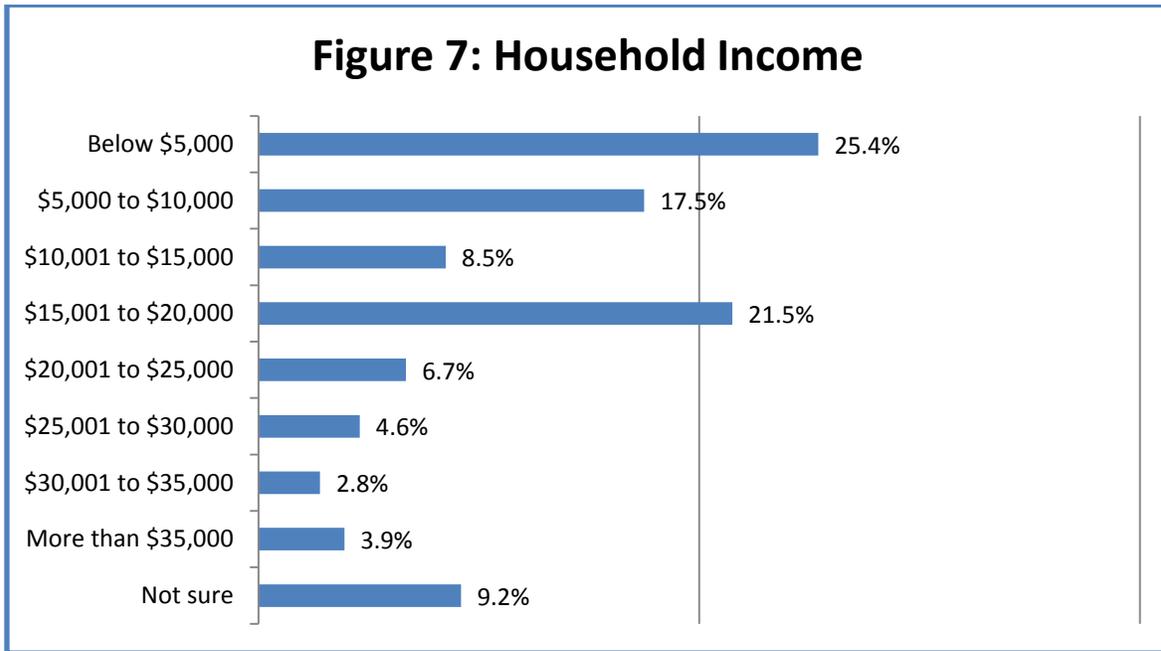
“Other” Types of Households

Response	Frequency
Single person household	23
Couple, no children (married or cohabitating)	3
Married but separated	3
Mother and partner	1

**Note: Frequencies for “other” responses are not weighted.*

Household Income

The survey also asked respondents to indicate their households' total income before taxes for the previous year. The possible responses to this question are income categories with the first category being "Below \$5,000." The other response categories range from \$5,000 to \$35,000, in increments of \$5,000. The final, and highest, category is "Above \$35,000." The results of this question are provided in Figure 7.

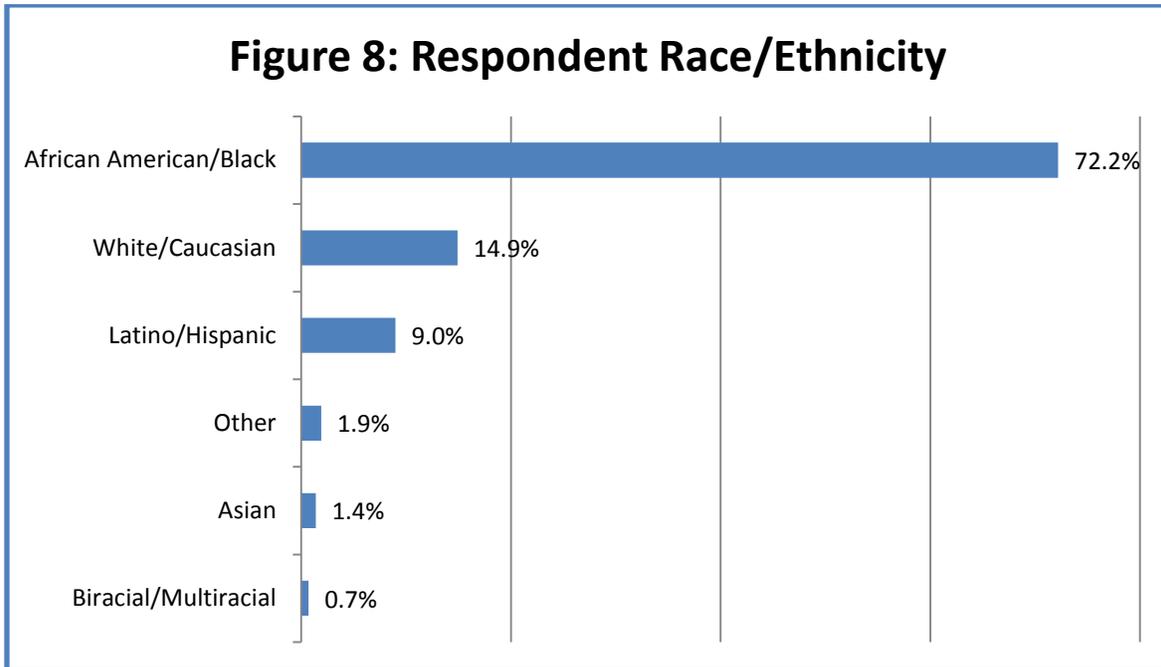


One in four (25.4%) respondents reported a total household income before taxes below \$5,000. About one in six (17.5%) respondents reported a household income between \$5,000 and \$10,000, and about one in ten (8.5%) cited a household income between \$10,001 and \$15,000. About one in five (21.5%) respondents indicated a household income between \$15,001 and \$20,000.

Fewer than one in ten respondents reported a household income: between \$20,001 and \$25,000 (6.7%); between \$25,001 and \$30,000 (4.6%); between \$30,001 and \$35,000 (2.8%); or, more than \$35,000 (3.9%).

Respondent Race/Ethnicity

The survey also asked each respondent to indicate his or her race or ethnicity. The responses to this question are presented in Figure 8.



About seven in ten (72.2%) respondents said they are “African American/Black.” About one in seven (14.9%) respondents said they are “White/Caucasian,” and about one in ten (9.0%) respondents indicated they are “Latino/Hispanic.” Fewer than one in ten respondents indicated they are “Asian” (1.4%) or “Biracial/Multiracial” (0.7%).

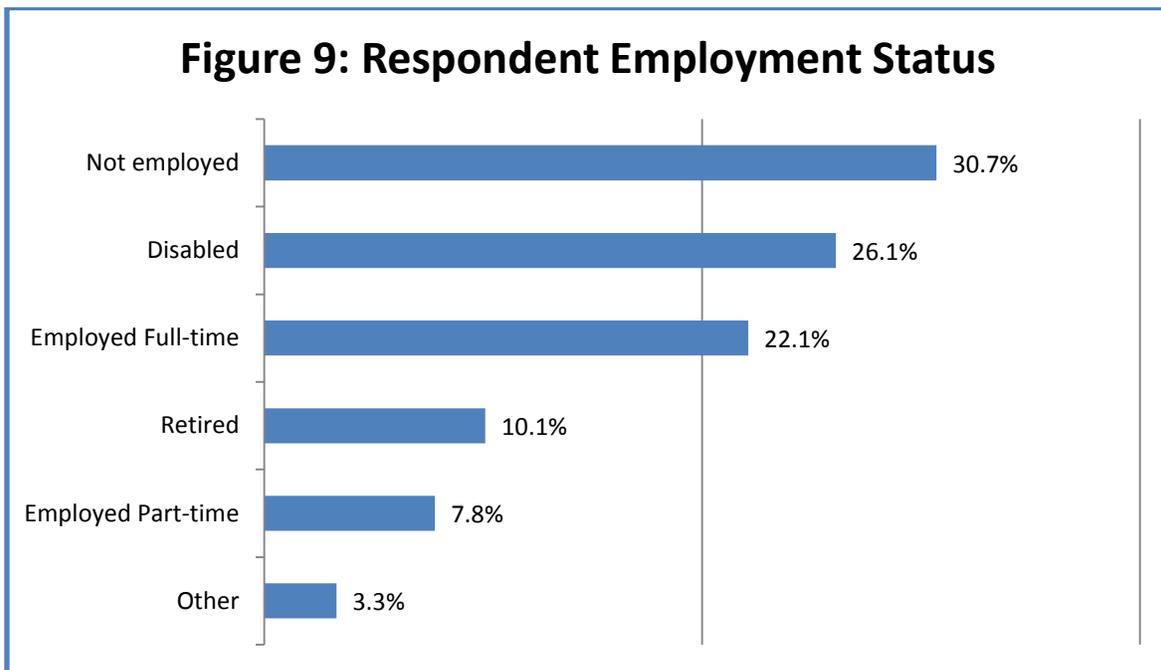
In addition, five respondents listed an “Other” racial/ethnic group: “Haitian” (n=2); “West Indian” (n=1); “Jamaican” (n=1); and, “American Indian/African” (n=1).

Employment Status

The next question in the survey asked each respondent to indicate his or her employment status. The possible responses to this question are as follows:

- Employed full-time;
- Disabled;
- Not employed;
- Employed part-time;
- Retired;
- Other.

The results of this question are presented in Figure 9.



About three in ten (30.7%) respondents said they are “Not employed.” More than one in four (26.1%) respondents indicated that they are “Disabled” and about one in five (22.1%) said they are “Employed full-time.” One in ten (10.1%) respondents said they are “Retired.” Fewer than one in ten (7.8%) respondents indicated that they are “Employed part-time.”

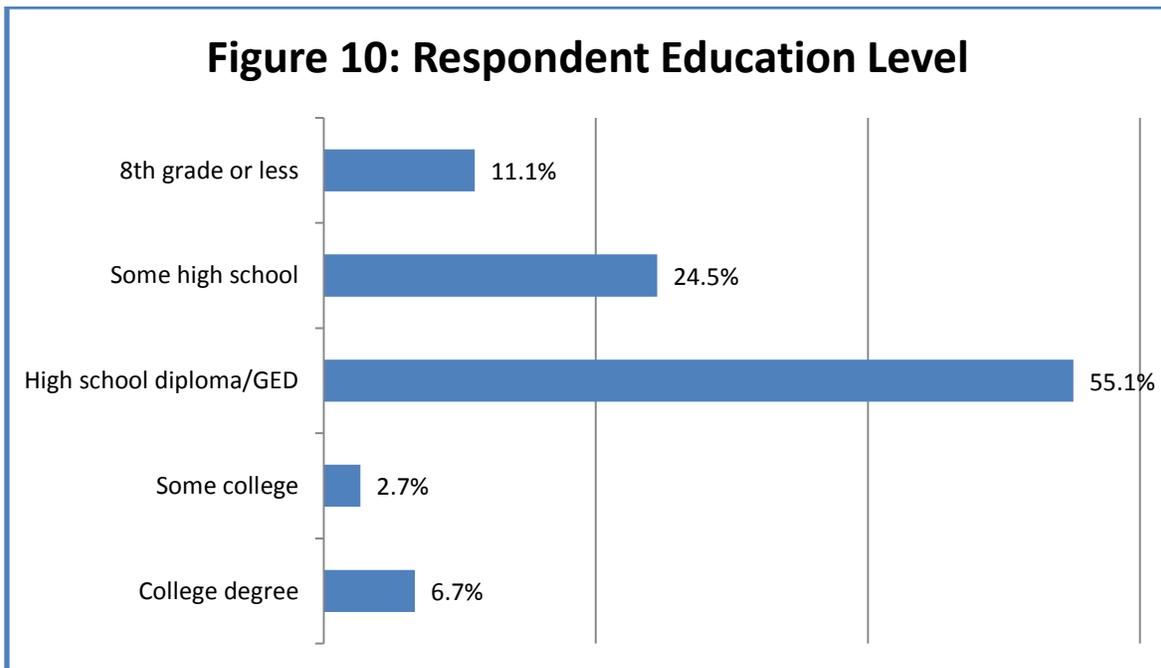
In addition, three respondents indicated “Other situations”: “Self-Employed,” “Social Security,” “Donor of Plasma.”

Education Level

The next question in the survey asked each respondent to indicate the highest level of education of the adult head(s) of the household. The possible responses to this question are as follows:

- 8th grade or less;
- Some High School;
- High School Graduate;
- Some College;
- College Degree.

The results of this question are presented in Figure 10.



More than half (55.1%) of the respondents indicated they have a high school diploma or GED certificate, and about one in four (24.5%) said they had some high school education but had not graduated from high school. About one in ten (11.1%) respondents had an 8th grade education or less. About three percent of the respondents said they had some college and about seven percent said they have a college degree.

Number of People in Household

This question asked the respondents to indicate the total number of people in their households. The results for this question are shown in Table 11.

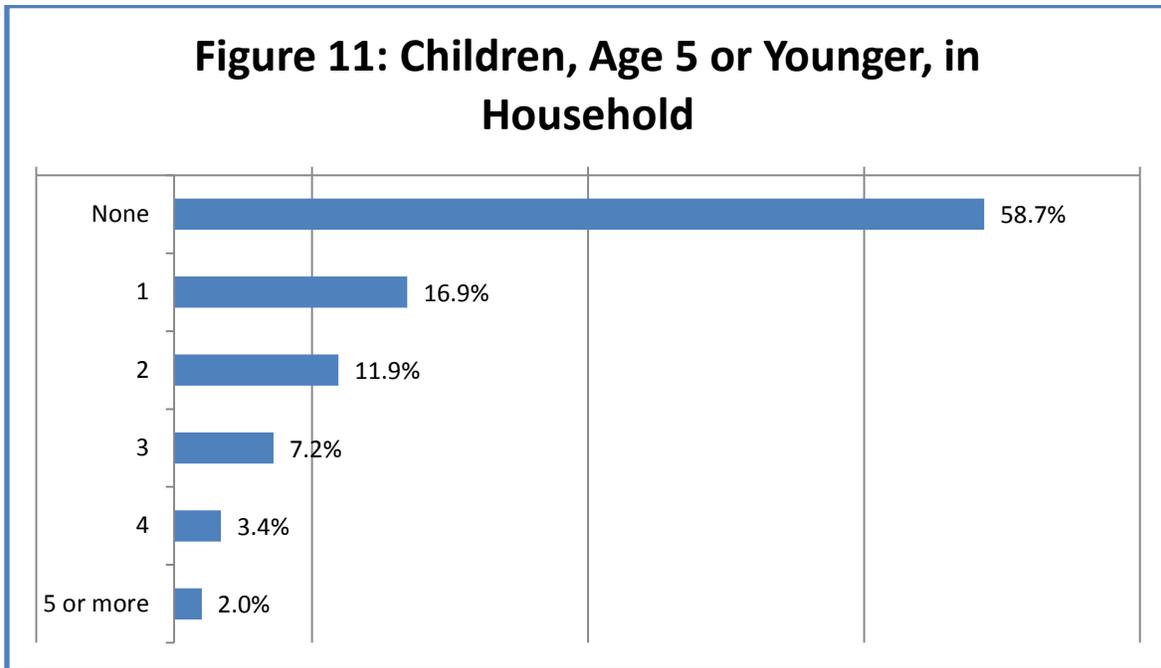
Table 11: Total Number of People in Household

Number of People in Household	% Respondents
1	24.3%
2	20.4%
3	13.1%
4	12.9%
5	10.9%
6	6.1%
7	4.6%
8	3.8%
9	2.5%
13	1.3%
14	0.1%
15	0.1%

About one in four (24.3%) respondents said they live alone. One in five (20.4%) respondents indicated they live in households that have two people. About one in eight (13.1%) respondents live in households that have three people and a similar number (12.9%) lives in four-person households. About one in ten (10.9%) respondents live in five-person households. About one in five (18.5%) respondents live in households with six or more people.

Number of Children, Age 5 or Younger, in Household

The first part of this question asked respondents to indicate the number of children in their households that are age five or younger. The number of children in the respondent-households is presented in Figure 11.



Nearly three in five (58.7%) respondents indicated that no children, age five or younger, live in their household. About one in six (16.9%) respondents said that one child, age five or younger, lives in their household. About one in ten (11.9%) respondents indicated that two children, age five or younger, live in their households. Fewer than one in ten respondents said three (7.2%), four (3.4%), or five or more (2.0%) children, age five or younger live in their households.

Children by Age

The second component of this question asked respondents with children, age five or younger, in their households to indicate the ages of each child. The distribution of children by age is presented in Table 12.

Table 12: Children by Age

Age of Children in Household	Total Number	% (n=175)
1	41	23.4%
2	37	21.1%
3	28	16.0%
4	36	20.6%
5	33	18.9%

Respondents with children age five and younger (n=116) provided ages for a total of 175 children. Of these children, about one in four (23.4%) were one year old and about one in five (21.1%) were two

years old. About one in six (16.0%) of these children were three years old. About one in five of these children were either four years old (20.6%) or five years old (18.9%).

Zip Code

The final question in the survey asked respondents to provide their zip codes. Respondent zip codes appear in Table 13.

Table 13: Respondent Zip Code

Zip Code	% Respondents
34950	21.6%
34947	13.3%
33881	9.6%
34946	4.5%
33853	4.1%
34982	3.6%
33880	2.5%
33852	2.2%
33870	2.1%
33823	2.0%
33830	2.0%
34957	1.8%
33430	1.6%
33843	1.5%
33471	1.4%
33825	1.3%
34981	1.3%
33440	1.2%
33801	1.2%
34952	1.2%
33805	1.1%
33898	1.1%
33813	0.9%
34983	0.9%
33809	0.8%
33844	0.8%
34759	0.8%
34953	0.8%
34997	0.8%
32958	0.7%
33455	0.7%
33475	0.7%
33868	0.7%
34962	0.7%
34985	0.7%

Zip Code	% Respondents
35953	0.7%
39453	0.7%
34954	0.6%
33859	0.5%
33860	0.5%
33885	0.5%
33944	0.5%
33975	0.5%
34948	0.5%
34956	0.4%
32771	0.3%
33803	0.2%
33810	0.2%
33884	0.2%
34994	0.2%
32757	0.1%
32773	0.1%
32962	0.1%
32967	0.1%
33411	0.1%
33435	0.1%
33493	0.1%
33510	0.1%
33812	0.1%
33837	0.1%
33840	0.1%
33850	0.1%
33875	0.1%
34145	0.1%
34758	0.1%
34913	0.1%
34945	0.1%
34951	0.1%
34986	0.1%
38947	0.1%

Results: Community Organizations

Organization/Agency Characteristics

After noting their basic contact information (see Appendix A), organizations were first asked which of a list of characteristics describe their agency/organization. The results, sorted by frequency, are presented in Table 14. (Please note that respondents could provide more than one answer.)

Table 14: Organization/Agency Characteristics

Characteristics	Frequency	% (N=39)
Charitable Organization	18	46.2%
Community Organization/Advocacy	17	43.6%
Education	16	41.0%
Emergency Assistance	16	41.0%
Child Development Services	15	38.5%
Employment and Training	14	35.9%
Housing	13	33.3%
Family Services (e.g. counseling)	12	30.8%
Government Services	12	30.8%
Information and Referral	10	25.6%
Health Care Services	10	25.6%
Crisis Intervention	5	12.8%
Other (see details below)	4	10.3%
Multi-Purpose Community Center	2	5.1%
Mental Health Services	2	5.1%
Church	1	2.6%
Substance Abuse Assistance	1	2.6%
Legal Services	0	0.0%

Nearly half (46.2%) of the respondents described their organizations/agencies as a “Charitable Organization,” and a similar number (43.6%) chose the descriptor “Community Organization/Advocacy.” About two in five respondents chose “Education” (41.0%), “Emergency Assistance” (41.0%), or “Child Development Services” (38.5%) to describe their organizations/agencies. About one in three respondents noted “Employment and Training” (35.9%), “Housing” (33.3%), “Family Services” (30.8%), or “Government Services” (30.8%) as organization descriptors.

About one in four respondents described their agencies as “Information and Referral” (25.6%) or “Health Care Services” (25.6%), and one in eight chose “Crisis Intervention” (12.8%).

In addition, three of the respondents included “Other” ways they would describe their organizations/agencies. These responses appear below:

- Funder
- Public Utility
- Nutrition Assistance Program

Services Provided

Organizations were next asked which of a list of services their agency/organization provides or supports. The results, sorted by frequency, are presented in Table 15. (Please note that respondents could provide more than one answer.)

Table 15: Services Provided by Organization/Agency

Characteristics	Frequency	% (N=39)
Energy Assistance	19	48.7%
Case Management	18	46.2%
Emergency Food	17	43.6%
Child Care	16	41.0%
Housing Assistance	16	41.0%
Outreach	16	41.0%
Employment Training/Counseling	15	38.5%
Adult Education (e.g. ESL, GED, etc.)	12	30.8%
After School Care	12	30.8%
Family Counseling/Support	12	30.8%
Parenting	12	30.8%
Financial Assistance	11	28.2%
Other	11	28.2%
Advocacy	10	25.6%
Children with Disabilities	9	23.1%
Emergency Shelter	9	23.1%
Health Care	9	23.1%
Health Education	9	23.1%
Teen Services	9	23.1%
Transportation	8	20.5%
Emergency Clothing	7	18.0%
Nutrition (WIC)	7	18.0%
Literacy	6	15.4%
Prenatal Care	6	15.4%
Summer School	6	15.4%
Special Services	5	12.8%
Language Assistance	4	10.3%
TANF	4	10.3%
Immigration/Naturalization	3	7.7%
Legal Assistance	2	5.1%
Foster Care	1	2.6%

Nearly half of the respondents said their organizations provide “Energy Assistance” (48.7%) or “Case Management” (46.2%) services. About two in five respondents said their agencies provide “Emergency Food” (43.6%), “Child Care” (41.0%), “Housing Assistance” (41.0%), “Outreach” (41.0%), or “Employment Training/Counseling” (38.5%) services.

Nearly one in three respondents indicated that their organizations provide “Adult Education (e.g. ESL, GED, etc.)” (30.8%), “After School Care” (30.8%), “Family Counseling/Support” (30.8%), or “Parenting” (30.8%) services. About one in four respondents said their agencies provide services related to “Financial Assistance” (28.2%), “Advocacy” (25.6%), “Children with Disabilities” (23.1%), “Emergency Shelter” (23.1%), “Health Care” (23.1%), “Health Education” (23.1%), or “Teen Services” (23.1%).

About one in five respondents said their organizations provide services related to “Transportation” (20.5%), “Emergency Clothing” (18.0%), or “Nutrition (WIC)” (18.0%).

In addition to the services listed in the table, eight “Other” responses related to services were noted by respondents. These responses appear below:

- Community Corrections, Veterans Outreach, School Crossing Guard
- Volunteer Mentors
- Workforce Services, Small Business Assistance, Weatherization, Community Development, Social Services
- Meals on Wheels, RSVP, Supervised Visitation, Weatherization Assistance Program, Congregate Meals
- Funding to qualified non-profits in the area of education, income and health
- Work with the North East Recreational Center
- Weatherization Programs, Medical Examiner’s Office, CDBG
- Health Department Pediatric Dental Services

Barriers to Low-Income Families Receiving Assistance

The next question in the survey asked respondents to indicate the five greatest barriers to low-income families receiving assistance in their community. The results, sorted by frequency, are presented in Table 16. (Please note that respondents could provide up to five responses each.)

Table 16: Barriers to Low-Income Families Receiving Assistance

Barriers	Frequency	% (N=38)
Lack of transportation	28	73.7%
Lack of awareness of services	23	60.5%
Length of waiting lists	23	60.5%
Eligibility requirements	21	55.3%
Lack of child care	18	47.4%
Language barriers	12	31.6%
Conflicting rules/requirements among providers	7	18.4%
Lack of accessibility to services for the disabled	7	18.4%
Location of assistance agencies	6	15.8%
Days of the week agencies are open	6	15.8%
Hours agencies are open	5	13.2%
Comfort level with staff/agencies	5	13.2%
Service fees	4	10.5%
Months services are available	3	7.9%
Housing for temporary workers	2	5.3%

Nearly three in four (73.7%) respondents indicated that “Lack of transportation” is one of the five greatest barriers to low-income families in the community receiving assistance. About three in five respondents said that “Lack of awareness of services” (60.5%) or “Length of wait lists” (60.5%) is one of the five greatest barriers to receiving assistance. More than half (55.3%) of the responding agencies said that “Eligibility requirements” are one of the five greatest barriers to low-income families receiving assistance, and a similar percentage (47.4%) reported that “Lack of child care” is one of the five greatest barriers.

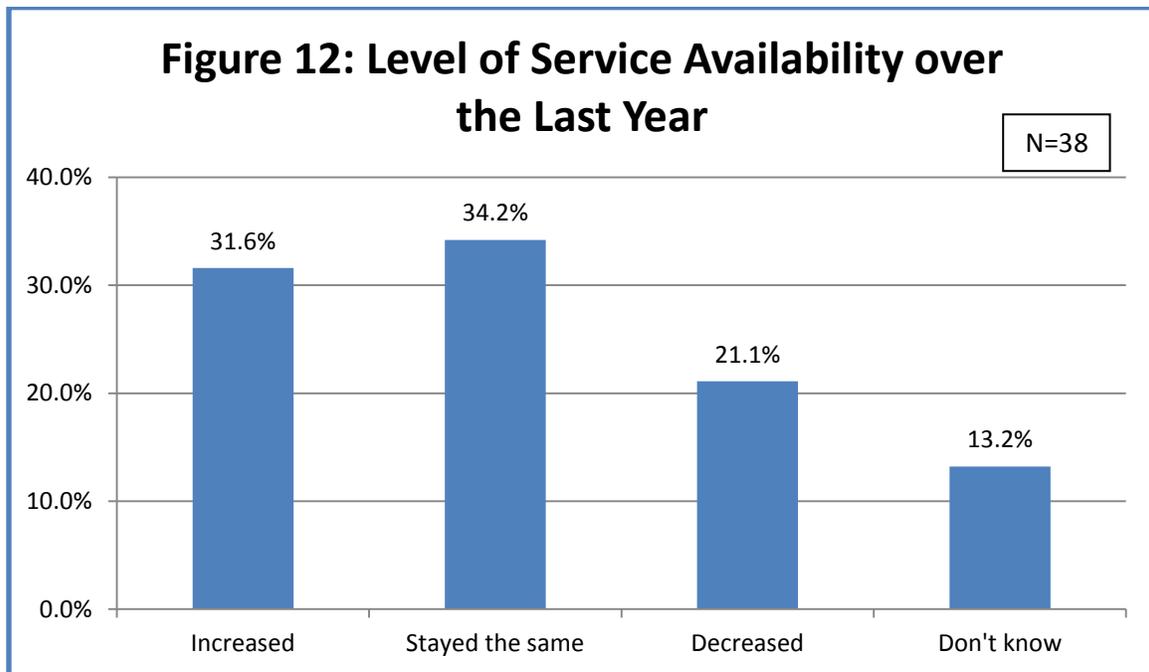
About one in three (31.6%) respondents noted “Language barriers” as one of the primary barriers to low-income families receiving assistance. About one in five responding agencies indicated that “Conflicting rules/requirements among providers” (18.4%) or “Lack of accessibility to services for the disabled” (18.4%) is among the five greatest barriers to low-income families receiving assistance.

In addition to the barriers listed in the table, five “Other” responses were noted by respondents:

- Availability of childcare & other services during non-traditional hours; lack of coordinated/bundled services
- Lack of insurance or medicine
- Lack of employment opportunities, mental health issues and services, case management
- Housing assistance
- Funds availability

Perception of Changes in Service Availability

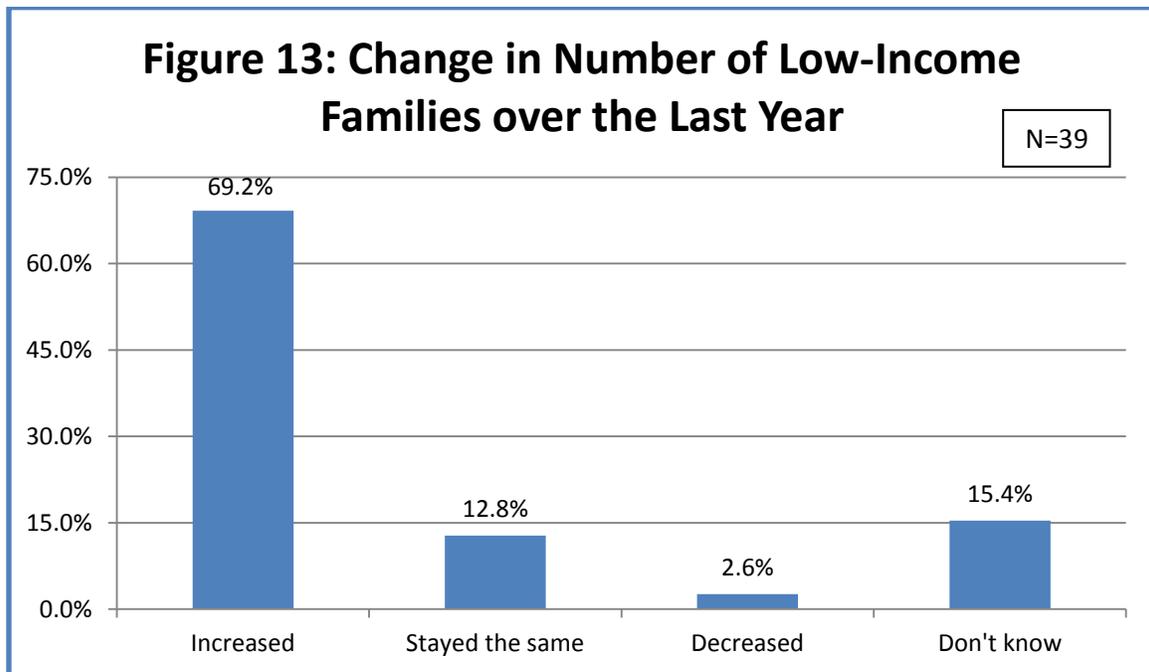
The next question asked organizations: “Do you think service availability for low-income families in our community has increased, stayed the same, or decreased over the last year?” The results are presented in Figure 12.



About one in three (31.6%) respondents indicated that service availability for low-income families in the community has “increased” over the last year, while a similar percentage (34.2%) said service availability has “stayed the same.” About one in five (21.1%) respondents indicated that service availability for low-income families in the community has “decreased” over the last year. About one in eight (13.2%) of those responding said they “don’t know” how service availability has changed over the past year.

Perception of Changes in Low-Income Families

The next question asked organizations: “Do you think the number of low-income families in our community has increased, stayed the same, or decreased over the last year?” The results are presented in Figure 13.



More than two in three (69.2%) respondents indicated that the number of low-income families in the community has “increased” over the last year. About one in eight (12.8%) respondents said the number of low-income families has “stayed the same” and just one respondent (2.6%) said the number of low-income families in the community has “decreased” over the last year.

Respondents were next asked to indicate why they think the change they indicated has occurred. The open-ended responses are grouped and presented below. The full list of open-ended responses appears in Appendix B.

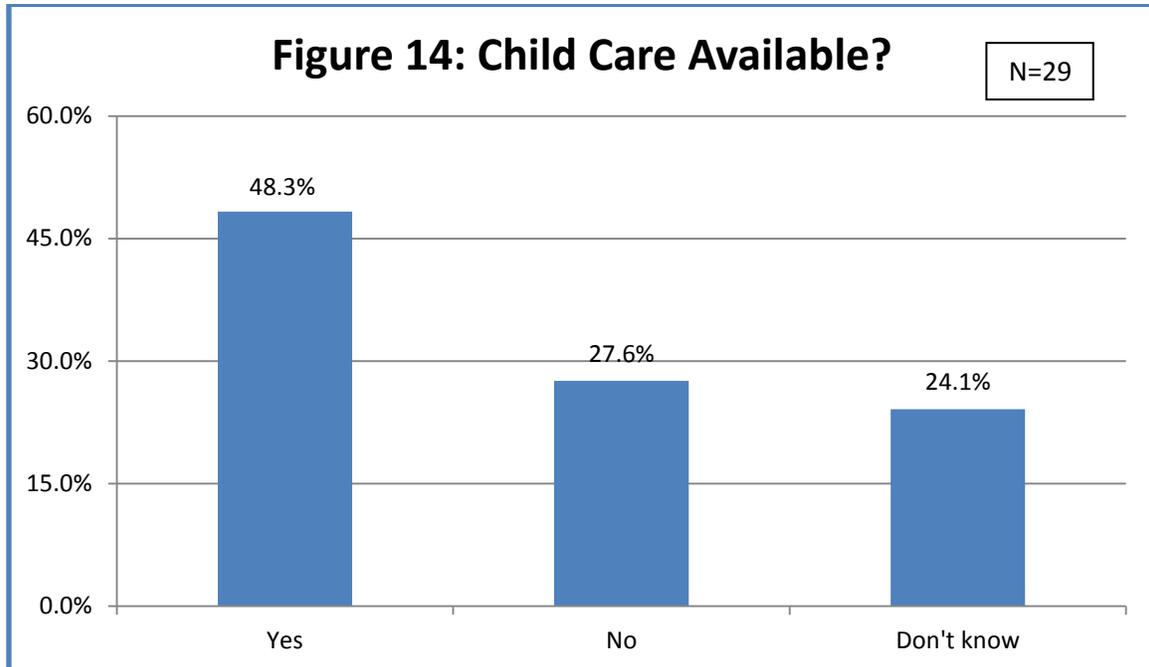
Response	Frequency
Unemployment / Job loss / Job availability	14
The economy	7
More families moving into area	3
High cost of living	2
Lack of education / Qualifications	2
Transportation	1
Foreclosures / Home loss	1

Child Care Services

The survey next asked a series of questions about child care for low-income families.

Need for Services

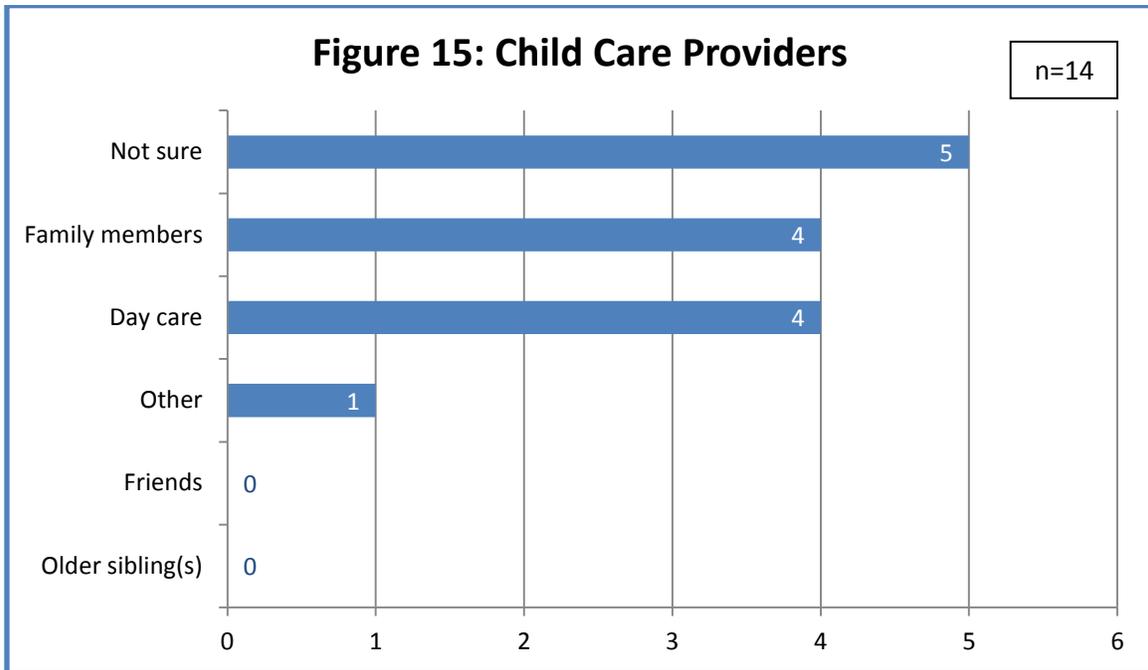
The first question in this section asked those organizations that serve low-income families whether those families are able to obtain the child care services they need. The results from the 29 organizations that serve low-income families are presented in Figure 14.



About half (48.3%) of responding organizations that serve low-income families indicated that those families are able to obtain the child care services they need. More than one in four (27.6%) of these respondents indicated that low-income families are not able to obtain the child care services they need, and nearly as many (24.1%) said they “don’t know” whether the families they serve are able to obtain child care services they need.

Child Care Service Providers

The respondents that indicated that at least some of the low-income families they serve are able to obtain child care services were next asked: “Who most often provides child care services for low-income families you serve?” The results are presented in Figure 15.

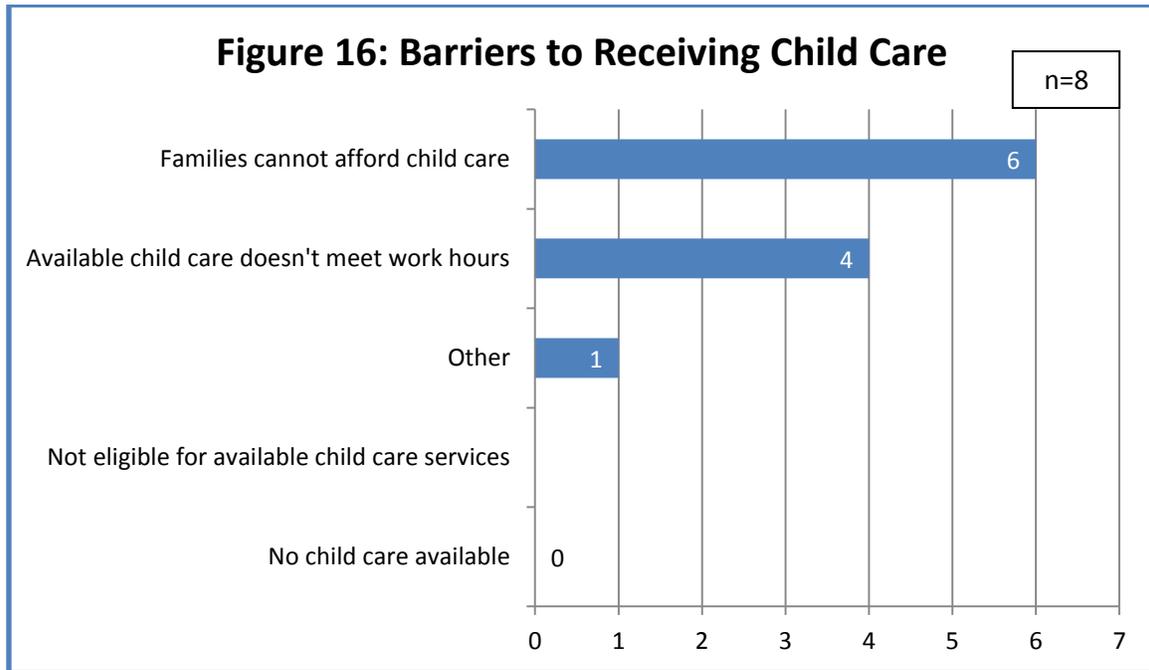


Most of the respondents (n=5) that indicated that at least some of the low-income families they serve are able to obtain child care services did not know who provides this childcare. Four of these respondents said that those families most often receive child care from “Family members,” and four low-income families they serve receive child care from “Day care.” In addition, one of these respondents indicated “Other” child care providers for the families they serve. This response appears below:

- ALPI

Reasons for Lack of Child Care Services

The respondents that indicated that the low-income families they serve are not able to obtain child care services were next asked to indicate the reasons why their clients are unable to secure child care services. The results are presented in Figure 16. Please note that respondents could provide more than one answer.



Six of the respondents that indicated that the low-income families they serve are not able to obtain child care services said that their clients are unable to secure child care services because the “Families cannot afford child care.” Four of these respondents noted that “Available child care doesn’t meet [the families’] work hours.” One of these respondents offered “Other” reasons why their clients are unable to secure child care services. This reason is detailed below.

- Wait list for subsidized care

Additional Comments

Finally, responding organizations were asked to provide any other comments or suggestions for helping ALPI meet the needs of low-income families in the community. These responses appear below.

- “Child care is necessary! For people who work. Many of our clients do not work.”
- “WIC has office in Ft Pierce at Health Department on 714 Ave C 34950 Hours are M 9:30-6:30pm/ T-F 8am-5pm”
- “Keep doing a great job; Future fatherhood program is outstanding.”
- “Child care services are provided part time for EHS, but parents are not financially able to pay for before or after care, without financial assistance from the Early Learning Coalition.”
- “Housing is so expensive in Naples, we have families in temporary or no housing, the city is so rich yet people can't find cheap housing.”
- “Need more facilities on vouchers for local providers”
- “It needs to be more affordable”
- “Listen to some families, even if they work, most of it goes to daycare and they don't see themselves getting ahead.”

Appendix A: Contact Information for Responding Organizations

United Way of St. Lucie County
4800 S. US 1
Ft. Pierce, FL 34982
M-F 8:00AM-5:00 PM

Mana Ministries of Lake Placid
46 Kent Ave.
Lake Placid, FL 33852
M-F 9:30AM-1:00PM

ALPI Queen Townsend Head Start Center 2
2202 Avenue Q
Fort Pierce, FL

ALPI, Inc.
PO BOX 3126
Winter Haven, FL 33885

Council on Aging
700 Generation Point
Kissimmee, FL 34744
7:00AM-5:00PM

Society of St. Vincent de Paul,
St. Christopher Conference, Inc.
12001-D SE Federal Highway
Hobe Sound, FL 33455
M-F 9:00AM-12:00PM

Pinellas Opportunity Council, Inc.
501 Ave North, Suite 517
St. Petersburg, FL 33701
M-F 8:30AM-5:30PM

Concerned Citizens of Winter Haven
3375 South Ave
Banton, FL 33830

Florida Housing Financial Corporation
227 N. Bronough St., Suite 5000
Tallahassee, FL 32301
8:00AM-5:00PM

Brevard County Housing & Human Services Dept.
2725 Judge Fran Jamieson Way B-203
Viera, FL 32940
M-F 8:00AM-5:00PM

East Coast Migrant Head Start Program
107 6th Street SE
Fort Meade, FL 33841
M-F 8:00AM-5:00PM

Agriculture and Labor Program
PO BOX 3126
Winter Haven, FL 33885
8:00AM-5:00PM

ALPI/LIHEAP/Macedonia Church
1003 3rd Avenue N
Naples, FL 34102
Varies, W-TH 10:00

The Agricultural & Labor Program, Inc.
300 Lynchburg Road
Lake Alfred, FL 33850
M-F

DCF/Child Care Regulations
337 North US Highway 1
Ft. Pierce, FL 34950
8:00AM-5:00PM

Children's Services Council of St. Lucie County
546 NW University Blvd., Suite 102
Port St. Lucie, FL 34986
M-F 8:00AM-5:00PM

Florida Villa Community Development Corporation
111 Avenue R NE
Winter Haven, FL 33881
M-F 9:00AM-5:00PM

Agriculture and Labor Program
Winter Haven, FL 33885

Big Brothers Big Sisters of the Sun Coast, Inc.
279 US 27 North
Sebring, FL 33870
8:00AM-4:30PM

Citrus County Housing Services
2804 W. Marc Knighton Ct.
Lecanto, FL 34461
M-F 8:00AM-5:00PM

Florida Department of Health in St. Lucie County
5150 NW Milner Street
Port St. Lucie, FL 34983
M-F 8:00AM-5:00PM

Florida Dept. of Health St. Lucie, WIC Program
531 NW Lake Whitney Place, Suite 101
Port St. Lucie, FL 34986
M 10:00AM-7:00PM, T&TH 8:00AM-5:00PM,
W 8:30AM-6:30PM, F 8:00AM-2:00PM

Manatee Community Action Agency, Inc.
302 Manatee Ave. East, Suite 322
Bradenton, FL 32408
M-F 8:00AM-5:00PM

ALPI, Inc.
300 Lynchburg Road
Lake Alfred, FL 33850
M-F 8:00AM-5:00PM

ALPI, Inc.

ALPI
300 Lynchburg Road
Lake Alfred, FL 33850
M-F 8:00AM-5:00PM

ALPI
300 Lynchburg Road
Lake Alfred, FL 33850
M-F 8:00AM-5:00PM

ALPI
300 Lynchburg Road
Lake Alfred, FL 33850
M-F 8:00AM-5:00PM

Florida Department of Economic Opportunity
107 E. Madison Street MSC-400
Tallahassee, FL 32399
M-F 8:00AM-5:00PM

Duke Energy
3300 Exchange Place, NP2A
Lake Mary, FL 32746
8:00AM-5:00PM

Indian River State College
3209 Virginia Ave
Ft. Pierce, FL 34981

Hendry Glades Mental Health Clinic
601 W Alverdez Ave
Clewiston, FL 33440
M-F 8:00AM-4:00PM

Mid-Florida Community Services, Inc.
820 Kennedy Blvd.
Brooksville, FL 34601
M-F 8:00AM-5:00PM

Economic Opportunities of Indian River County, Inc.
1798 NW 9th Avenue
Okeechobee, FL 34972
8:00AM-4:00PM

Economic Opportunities Council of IRC
2455 St. Lucie Ave.
Vero Beach, FL 32960
M-F 9:00AM-5:00PM

Agriculture and Labor Program
PO BOX 3126
Winter Haven, FL 33885
8:00AM-5:00PM

*Note: Three respondents did not provide background on their organizations.

Appendix B: Verbatim Open-ended Responses from Question 5A

Lack of available jobs; high cost of rent and utilities; lack of education
More people moving here
High unemployment
The number of families that come to us for assistance has grown because of foreclosure and job loss.
Availability of entry, non-professional and professional job still lacking
Cost of Living increase, unemployment rates in certain communities.
Lack of jobs
Economy
More families moved into the area
Lack of jobs, low income
The economy took a dive, although there has been a change, it is not enough
Lack of work in Citrus, no jobs available/transportation to & from
Lack of jobs
Economy of St Lucie County not fully recovered
Lack of jobs & qualifications of citizens
Economy
Economic crisis, lack of employment opportunities
Unemployment
Same level of service demand
Increase in eligible families for services
Employment has decreased in our community
Not enough community
Lack of jobs paying decent wages
Data over past 3 years shows increase
All the economic indicators for Hendry County are still bad
Slight economic recovery slowed demand



The Agricultural and Labor Program, Inc.

Program/Services Directory

(Lake Alfred, Winter Haven, Deland, Avon Park & Ft. Pierce)

800-330-3491
863-956-3491
863-956-3492
863-956-4478

863-956-0349
863-956-3764
863-956-1348
863-956-4938

FAX NUMBERS

863-956-3357
863-956-5560

CONFERENCE ROOM

863-956-0147

ADMINISTRATION & OPERATIONS

Johnson, Deloris – CEO Ext. 206
Johnson, Marnita Ext. 200
Buford, Sarah Ext. 234
Smith, Twila - O & QC Director Ext. 204
Breakroom Ext. 214
Conference Room Ext. 216

BUDGET & FINANCE

Gniewek, Dennis - Director Ext. 210
Davis, Kenneth Ext. 208
DeSimone, Lisa Ext. 207
Rivera, Maribel Ext. 209
Robinson, Lynda Ext. 211

HUMAN RESOURCES

Samuel, Christine - Director Ext. 202
Tomberlin, Lisa Ext. 203

CHILD DEVELOPMENT & FAMILY SERVICES

Young, Elizabeth - Div. Deputy Director Ext. 215
Ferguson, Joyce Ext. 231
Walker, Hilda Ext. 233
Armstrong, Bessie Ext. 238

COMMUNITY & ECONOMIC DEVELOPMENT

Miller, Albert - Div. Deputy Director Ext. 212
Cuker, Shelia Ext. 201

COMMUNITY SERVICES

Burnham, Cheryl - LIHEAP Director Ext. 224
Leonard, Charlene Ext. 219
Jardinez, Donna Ext. 221
Figel, Sandy Ext. 222
Creech, Michelle Ext. 223
Diaz, Yartiza Ext. 227
Cantera, Tim Ext. 232
Taylor, Grenea (FVDC) 863-299-3173
Ramirez, Jose (FVDC) 863-299-2995
Baker, Katrina (FVDC) 863-293-3742
Leveridge, Stacey (Avon Park) 863-657-2076

ECONOMIC SERVICES

Lee-Yang, Pahoua - CSBG Director Ext. 218
Mong, Candace Ext. 243
Stickney, Fred (New Horizon) 863-875-5585
Armstead, Sheila (New Horizon) 863-268-8205
Baker, Charles (Highlands Co.) 863-657-2104
Rodriguez, Agnes (Highlands Co.) 863-657-2104
Harris, Sophia (Family Fundamentals) 863-686-1221
Ext. 244

Project Achieve

Deland - Volusia County Office

386-624-6912
386-624-6917 (FAX)

Gaytan, Robert
Sanchez, Claudia



Eastern Administrative Office Phone Directory

Betsy Aguilar	10	Myrna Rodriguez	11	Eva Sohl	13
Diana G. Contreras	14	Elizabeth Young	15	Alisa Thornton	16
Amanda Proulx	17	Deloris Johnson	18	Germain Louis	19
Anna Holmes	20	Donita Brunson	21	Iris Rivera	22
Kevin Singletary	25	Lisandra Concepcion	27	William Hopkins	28
Ana Cendejas	30	CAT Program/Media Center	32	Conference Room B	34/35
Latonya Robinson	36	Conference Room C	38	Auditorium/Cafeteria	29
ALPI Administrative Office Head Start/Early Head Start <i>Myrna Rodriguez, POD</i> 2202 Avenue Q, Fort Pierce, FL 34950 (772)466-2631 Toll Free (800)791-3099 Fax (772)464-3035/(772)466-3886		ALPI Central Office 300 Lynchburg Road Lake Alfred, FL 33850 (863)956-3491 Toll Free: (800)330-3491 Fax (863)956-3357		Frostproof Child Development Center <i>Aletta Stroder, POD</i> 701 Hopson Road Frostproof, FL 33843 (863)635-3396 Fax (863)635-2749	
ALPI Computer Assisted Tutorial Program <i>Kevin Singletary, Program Coordinator</i> 2202 Avenue Q, Fort Pierce, FL 34950 (772)466-2631 Fax (772)466-3886		Loving Care <i>Mary Logsdon, Owner</i> 1207 S. 28 th Street Fort Pierce, FL 34947 (772)464-1518 Fax (772)465-0651		Learning Tree <i>Elsie Salter, Owner</i> 2808 Avenue D Fort Pierce, FL 34947 (772)464-2988 Fax (772)464-0155	
ALPI Child Development and Family Services Center 198 N.W. Marion Avenue Port St. Lucie, FL 34983		CDSM II - Crystal Dames CDSM I - Glenda Johnson AA - Lacey Bissell FSW - Juanita Deloera FSW - Amy Nunez		772-879-4944 772-879-4272 772-879-4377 772-879-4966 Fax 772-343-7915 772-343-7916 772-343-7918 Fax	
ALPI Francina Duval Head Start Center 1035 South 27 th Circle Fort Pierce, FL 34950		CDSM - Temika Johnson AA - Latasha Blackmon FSW - Margie Houston		772-461-0398 772-461-0891 772-461-1024 Fax	
ALPI Garden Terrace Head Start Center 1110 North 32 nd Street Fort Pierce, FL 34950		CDSM - Sandra Monroe AA - Cynthia Thomas FSW - Jewel Whitehead FSW - Jennifer Hall		772-468-0300 772-468-0210 772-468-3737 Fax	
ALPI George W. Truitt Family Services Center 1814 North 13 th Street Fort Pierce, FL 34950		CDSM - Donna Hammond AA - Janna Gates FSW - Kelcey Williams		772-464-4452 772-465-3121 772-465-1045 Fax	
ALPI Lincoln Park Head Start Center 1400 Avenue M Fort Pierce, FL 34950		CDSM I - Charlene Smith AA - Edelia Rodriguez FSW - Karen Foxx FSW - Mario Camacho		772-464-6061 772-464-7396 772-464-5349 Fax	
ALPI Queen Townsend Head Start Center II 2202 Avenue Q Fort Pierce, FL 34950		CDSM II - Ellen Bradley CDSM I - Mary Brunson CDSM I - Maria Plaza AA - Sharee McBride-Coke FSW - Ana Wilson FSW - Cindy Thomas FSW - Yolanda Cunningham FSW - Karla Toole		772-429-8889 772-429-2446 772-464-7354 772-468-0904 772-464-1341 Fax	



The Agricultural and Labor Program, Incorporated

**Five-Year Strategic Plan
(2013-2018)**

GOAL 1: Create Additional Educational Experiences and Opportunities for Staff

Objective - Develop a better educated and more highly skilled workforce.

Benchmark – Every employee will participate in and maintain a professional development plan as provided for in ALPI's Policies and Procedures.

Objective - Provide more professional development opportunities.

Benchmark - Professional development opportunities will be provided annually for a minimum of 50% of the total staff.

Objective - Provide professional development activities for staff.

Benchmark – At least one professional development activity will be provided for all staff annually.

Objective - Make available additional educational opportunities.

Benchmark – All staff will have the opportunity to apply for assistance to enhance or improve his/her education.

GOAL 2: Devise a Plan Of Upward Mobility Within The Agency

Objective - Provide individual opportunities for creativity.

Benchmark - Intra-department project participation will be available in conjunction with at least one Agency-wide activity per year.

Objective - Allow opportunities for advancement within the Agency.

Benchmark - Advancement opportunities for employees with demonstrated competency will occur as provided for in ALPI's Policies and Procedures.

Objective - Create an incentive package connected with higher credentials.

Benchmark - Policies and procedures will be revised, as needed, to reward employees who complete a planned program of professional development related to their job assignments.

GOAL 3: Partner With Other Entities For More Efficient Service Delivery

Objective - Explore membership in community service organizations and aggressively seek fundraising opportunities with banks, vendors, etc.

Benchmark - Each member of the Senior Management Team will maintain active membership in at least one community service organization, attend meetings regularly, and use available opportunities to market ALPI's programs and seek support for same.

Benchmark – All other employees will be encouraged to participate in community services or activities.

Objective – Partner on collaborative projects with other entities.

Benchmark – ALPI will identify, whenever possible, organizations with which to partner to advance a project that increases and/or improves ALPI's available services.

Objective - Increase the funding base.

Benchmark – ALPI's budget will increase by 10% in five (5) years, if funding becomes available.

Objective - Take advantage of a favorable political climate – work with those more inclined to support human service organizations.

Benchmark – ALPI will be marketed with a minimum of two (2) events each year designed to promote its programs and seek additional support.

Objective - Secure funding from diverse and/or non-traditional sources.

Benchmark – ALPI will seek funding from non-public entities for a total of 5 new sources by 2018.

Objective - Apply for grants in a timely manner when money is available.

Benchmark – ALPI will apply for a minimum of one (1) new grant annually.

Goal 4: Target New Areas of Expansion

Objective - Expand programmatic thrusts.

Benchmark – New programs will be offered based on interest/need as identified in the Community Needs Assessment when funding is available.

Objective - Expand the service base, increase funding, and seek funding from foundations.

Benchmark – ALPI will offer new program(s) throughout the state where none exist, based on fund availability.

Objective - Consult with human service agencies in crisis in Florida when the opportunity presents itself.

Benchmark - When possible, ALPI will review and propose programs in areas where none are available due to abandonment by an agency or discontinuation of services by organizations.

Objective - Increase the client base.

Benchmark – Services to families increase commensurate with the availability of funds. When necessary, a “waiting list” of clients seeking assistance will be maintained by ALPI.

Objective - Continue to upgrade new technology.

Benchmark – ALPI will revise and update, when appropriate, its technology plan, as needed.

Goal 5: Enhance Program Development for and Service Delivery to Children and their Families

Objective - Create opportunities for academic success for children.

Benchmark – Student performance will be evaluated a minimum of twice per year to develop individual training plans for each student, as appropriate.

Objective – Offer or expand a Voluntary Pre-K program for the summer months.

Benchmark – Voluntary Pre-K programs during the summer months, will be offered when funds become available.

Objective – Create more assistance for parents.

Benchmark – At least one new program for parents will be made available annually based on funding availability.

Objective – Include leadership development for parents as early as the child’s enrollment into preschool.

Benchmark – The fatherhood program or a similar program, if offered, will provide a minimum of one (1) new opportunity annually.

Objective – Focus on academic and skill development training for children and clients.

Benchmark – Each client, child or parent seeking assistance will receive an informal evaluation to determine suitability for enrollment into a job-training program for an increase in enrollments of, a minimum of, 10% into job training/placement programs.

Objective – Assist clients in becoming upwardly mobile, especially in the job market.

Benchmark – ALPI will partner with other organizations to provide employability skills training to clients for an increase participation through 2018.

Objective - Create new training and/or educational programs based on market trends and the needs of the community.

Benchmark – Based on the results of the Community Needs Assessment, a total of two new programs will be developed by 2018.

FINANCE/FUNDRAISING

- IRS Determination Letter
- Certificate of Tax Exemption
- Certificate of Status
- Solicitation of Contribution Registration
- Donations and Sponsorships (see 2017 Annual Meeting Program Book Pages 18)
- Advisory Council Fundraising Activities (sample)
- Employee Contributions
- Audited Financials
- IRS Form 990
- Funding Sources
- Operating Budget
- Banking Institutions

Internal Revenue Service

Department of the Treasury
P. O. Box 2508
Cincinnati, OH 45201

Date: October 5, 2006

Person to Contact:

Richard E. Owens 31-07974
Customer Service Representative
Toll Free Telephone Number:
877-829-5500
Federal Identification Number:
59-1634148

THE AGRICULTURAL AND LABOR
PROGRAM INCORPORATED
PO BOX 3126
WINTER HAVEN FL 33885-3126 263

Dear Sir or Madam:

This is in response to your request of October 5, 2006, regarding your organization's tax-exempt status.

In January 1980 we issued a determination letter that recognized your organization as exempt from federal income tax. Our records indicate that your organization is currently exempt under section 501(c)(3) of the Internal Revenue Code.

Our records indicate that your organization is also classified as a public charity under sections 509(a)(1) and 170(b)(1)(A)(vi) of the Internal Revenue Code.

Our records indicate that contributions to your organization are deductible under section 170 of the Code, and that you are qualified to receive tax deductible bequests, devises, transferor gifts under section 2055, 2106 or 2522 of the Internal Revenue Code.

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

Sincerely,

Janna K. Skufca, Director, TE/GE
Customer Account Services



Consumer's Certificate of Exemption

Issued Pursuant to Chapter 212, Florida Statutes

DR-14
R. 10/15

85-8012667623C-6	10/31/2016	10/31/2021	501(C)(3) ORGANIZATION
<small>Certificate Number</small>	<small>Effective Date</small>	<small>Expiration Date</small>	<small>Exemption Category</small>

This certifies that

THE AGRICULTURAL AND LABOR PROGRAM INC
300 LYNCHBURG RD
LAKE ALFRED FL 33850-2576

is exempt from the payment of Florida sales and use tax on real property rented, transient rental property rented, tangible personal property purchased or rented, or services purchased.



Important Information for Exempt Organizations

DR-14
R. 10/15

1. You must provide all vendors and suppliers with an exemption certificate before making tax-exempt purchases. See Rule 12A-1.038, Florida Administrative Code (F.A.C.).
2. Your *Consumer's Certificate of Exemption* is to be used solely by your organization for your organization's customary nonprofit activities.
3. Purchases made by an individual on behalf of the organization are taxable, even if the individual will be reimbursed by the organization.
4. This exemption applies only to purchases your organization makes. The sale or lease to others of tangible personal property, sleeping accommodations, or other real property is taxable. Your organization must register, and collect and remit sales and use tax on such taxable transactions. Note: Churches are exempt from this requirement except when they are the lessor of real property (Rule 12A-1.070, F.A.C.).
5. It is a criminal offense to fraudulently present this certificate to evade the payment of sales tax. Under no circumstances should this certificate be used for the personal benefit of any individual. Violators will be liable for payment of the sales tax plus a penalty of 200% of the tax, and may be subject to conviction of a third-degree felony. Any violation will require the revocation of this certificate.
6. If you have questions regarding your exemption certificate, please contact the Exemption Unit of Account Management at 800-352-3671. From the available options, select "Registration of Taxes," then "Registration Information," and finally "Exemption Certificates and Nonprofit Entities." The mailing address is PO Box 6480, Tallahassee, FL 32314-6480.

State of Florida Department of State

I certify from the records of this office that THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED is a corporation organized under the laws of the State of Florida, filed on May 3, 1976.

The document number of this corporation is 735710.

I further certify that said corporation has paid all fees due this office through December 31, 2017, that its most recent annual report/uniform business report was filed on February 9, 2017, and that its status is active.

I further certify that said corporation has not filed Articles of Dissolution.

*Given under my hand and the
Great Seal of the State of Florida
at Tallahassee, the Capital, this
the Ninth day of February, 2017*



Ken Dietzner
Secretary of State

Tracking Number: CC1578065507

To authenticate this certificate, visit the following site, enter this number, and then follow the instructions displayed.

<https://services.sunbiz.org/Filings/CertificateOfStatus/CertificateAuthentication>



FLORIDA DEPARTMENT OF AGRICULTURE & CONSUMER SERVICES
COMMISSIONER ADAM H. PUTNAM

April 13, 2016

Refer To: CH2137

AGRICULTURAL AND LABOR PROGRAM, INC.
PO BOX 3126
WINTER HAVEN, FL 33885-3126

RE: AGRICULTURAL AND LABOR PROGRAM, INC.
REGISTRATION#: CH2137
EXPIRATION DATE: April 13, 2017

Dear Sir or Madam:

The above-named organization/sponsor has complied with the registration requirements of Chapter 496, Florida Statutes, the Solicitation of Contributions Act. A COPY OF THIS LETTER SHOULD BE RETAINED FOR YOUR RECORDS.

Every charitable organization or sponsor which is required to register under s. 496.405 must conspicuously display the registration number issued by the Department and in capital letters the following statement on every printed solicitation, written confirmation, receipt, or reminder of a contribution:

"A COPY OF THE OFFICIAL REGISTRATION AND FINANCIAL INFORMATION MAY BE OBTAINED FROM THE DIVISION OF CONSUMER SERVICES BY CALLING TOLL-FREE (800-435-7352) WITHIN THE STATE. REGISTRATION DOES NOT IMPLY ENDORSEMENT, APPROVAL, OR RECOMMENDATION BY THE STATE."

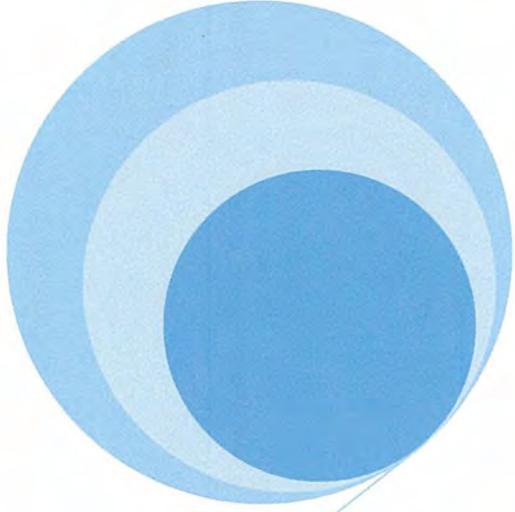
The Solicitation of Contributions Act requires an annual renewal statement to be filed on or before the date of expiration of the previous registration. The Department will send a renewal package approximately 30 days prior to the date of expiration as shown above.

Thank you for your cooperation. If we may be of further assistance, please contact the Solicitation of Contributions section.

Sincerely,

Karena Jackson

Karena Jackson
Regulatory Consultant
850-410-3698
Fax: 850-410-3804
E-mail: karena.jackson@freshfromflorida.com



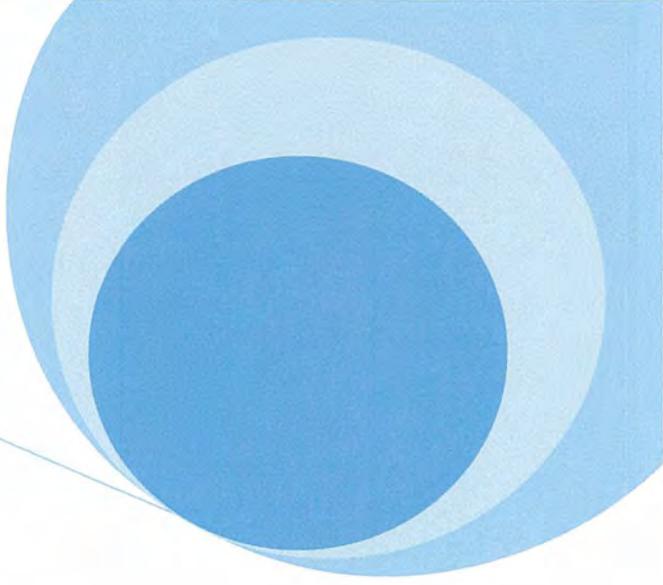
SAMPLE

SCHOLARSHIP GUIDELINES

The Agricultural and Labor Program, Inc. Community Action
Partnership

ALPI Central Regional Advisory Council

ARABELL WIGGINS SCHOLARSHIP



Scholarship Program Overview

1. Purpose

The Agricultural and Labor Program, Inc. (ALPI) believes that it is a critical time for the organization to expand efforts to make higher education a reality for qualified high school graduates. It is also the belief of the ALPI organization that by seizing this opportunity, we as an organization via our Regional Advisory Councils, can provide a viable gateway to sustainable, long-term economic benefits to these graduates and the ALPI Central Region communities.

The ALPI further believes that because our world has become more technical as well as more competitive, a high school education is not sufficient to get a good job. The ALPI Central Region communities like all communities throughout the nation, needs a growing educated and skilled workforce to compete in today's global marketplace. Therefore, the creation of the *Arabell Wiggins Scholarship* will provide an opportunity for an eligible Central Region graduate to continue their education to improve their chances of getting a good job and ultimately secure and maintain self-sufficiency.

2. Scholarship Award

A scholarship award in the amount of \$500.00 and a certificate will be awarded for 1 year to an eligible graduate(s) selected by the Central Regional Advisory Council's Scholarship Committee.

3. Eligibility Criteria

- Applicant must be a resident of the Central Region (Winter Haven, Bartow, Auburndale, Polk City, Lake Alfred, Haines City, Davenport, Mulberry, or Lakeland, etc).
- Applicant must be a graduating high school senior in the year the award is presented.
- Applicant must have been accepted into community college or university for the current award year.
- Applicant's family may or may not have received services from one of The Agricultural and Labor Program, Inc. affiliated programs.

4. Application Process

Applicant must submit the following items:

- Completed application form (if handwritten, must be legible).
- Letter of application addressed to the Scholarship Committee. The letter should contain a brief explanation of career goals and biographical (background) information.
- Acceptance letter or proof of college enrollment for current year.
- Statement of financial need that ties into and describes the services that may or may not have been received from The Agricultural and Labor Program, Inc. affiliated programs.
- Three (3) letters of recommendations from significant persons in your school, church or community.
- An official and most recent high school transcript with cumulative grade point average and a class standing/rank.
- Personal Essay including personal educational goals and career objectives (not to exceed 300 words).

5. Deadline Date

The 2016 deadline date to submit the application is July 1, 2016. Applications postmarked after this date will not be considered. Please mail or deliver application in person to:

SAMPLE

The Agricultural and Labor Program, Inc.
Central Regional Advisory Council
Arabell Wiggins Scholarship Committee
Attention: Twila Smith
300 Lynchburg Road
Lake Alfred, FL 33850

6. Method of Payment

Scholarship funds will be awarded to the selected applicant upon evidence of registration and acceptance in an accredited post secondary institution. Payment in the form of a check will be payable to the applicant.

7. Criteria for Selection

Each neatly printed or typed application must be accompanied by:

- Letter of application addressed to the Scholarship Committee.
- Three (3) letters of recommendations from significant persons in your school, church or community.

- An official and most recent high school transcript with cumulative grade point average and a class standing/rank.
- Personal Essay including personal educational goals and career objectives (not to exceed 300 words).
- Proof of enrollment or proof of acceptance in an accredited institution of higher learning.
- Statement of financial need that ties into and describes the services that may or may not have been received from The Agricultural and Labor Program, Inc affiliated programs.

Note: *Failure to meet any of the above will result in automatic elimination.*

8. Rating Criteria

Criteria	Maximum Points
1. Completeness of Information	20 points
2. Letters of reference or recommendations	15 points
3. G.P.A. or Test Scores	10 points
4. Financial need	15 points
5. Personal Goal Statement	10 points
6. Community Service	10 points
Total Points	100 points

9. Notification of Scholarship Award

The applicant selected will be notified by mail within 60 days from the application deadline date.

Arabell Wiggins Scholarship Application

PLEASE SUBMIT THE ITEMS LISTED BELOW WITH YOUR APPLICATION

1. Letter of application addressed to the Scholarship Committee.
2. Three (3) letters of recommendations.
3. An official and recent high school transcript with cumulative grade point average and a class ranking/rank.
4. Personal Essay including personal educational goals and career objectives (not to exceed 300 words).
5. Proof of enrollment or proof of acceptance in an accredited institution of higher learning.
6. Statement of financial need.

Note: Failure to meet any of the above will result in automatic elimination.

CERTIFICATION: Both information on this form and the supplemental information provided are true and complete to the best of my knowledge. *I understand that all documents requiring signature guidance counselors, parents and/or individuals providing letters of recommendations must be signed or my application will not qualify for consideration.*

SAMPLE

Applicant's Signature

Date

Parent's Signature

Date

All forms and letters must be signed where requested by students, parents, guidance counselors or individuals making recommendations in order for your application to be considered for any the scholarship.

Arabell Wiggins Scholarship Application

Please type or print all applicable information and return completed application and all requested information to:

The Agricultural and Labor Program, Inc.
Central Region Advisory Council Scholarship Committee
c/o Twila Smith
300 Lynchburg Road
Lake Alfred, FL 33850

Deadline Due Date: **July 1, 2016**

STUDENT INFORMATION

Name:		
Last	First	Middle
Mailing Address:		
City, Zip Code		
Telephone:	Date of Birth:	School Phone:
High School Attended:	SAT Score:	ACT Score:
Guidance Counselor Signature:	SAT Score:	
Weighted GPA:	SAT Score:	
College you plan to attend:	SAT Score:	

SAMPLE

PARENT INFORMATION

Father/Guardian	Mother/Guardian
Name:	Name:
Address:	Address:
City, Zip Code	City, Zip Code
Annual Income:	Annual Income:
Number and ages of children in household:	

Number and ages of children in college (not including applicant):

All forms and letters must be signed where requested by students, parents, guidance counselors or individuals making recommendations in order for your application to be considered for any the scholarship.

Arabell Wiggins Scholarship Application

Activities (Make certain to indicate any leadership positions held and dates of service)

School (extra-curricular activities):

Academic Awards, Special Recognitions or Honors:

Community Awards/Service (Please include place and hours of volunteer service):

SAMPLE

Work Experience (Please include hours worked per week and length of employment)

Special Interest or Hobbies:

Other Scholarships already received:

All forms and letters must be signed where requested by students, parents, guidance counselors or individuals making recommendations in order for your application to be considered for any the scholarship.



MEMORANDUM

TO: All ALPI Full-time Employees

FROM: Deloris Johnson, CEO

DATE: October 4, 2016

SUBJECT: ALPI 2017 Annual Training Conference

It's time again to start planning for our 49th Annual Corporate Meeting and Luncheon as well as our annual two-day training conference for all ALPI full-time employees.

Your continued support is being requested via a one-time contribution of \$35.00 towards this event. Your contribution can be made via a lump sum payment of \$35.00 or a minimum payroll deduction as low as \$3.50 per pay period.

For regular full-time employees, your attendance will be required on Friday & Saturday, January 20 & 21, 2017. The Rosen Centre - Orlando will be your work location for these two days with the agency providing shared overnight accommodation and transportation, on your behalf. For your information, the rate for single overnight accommodations is \$64.50/per night (money order payable to ALPI).

I am requesting the attached commitment form to be completed and returned by **ALL** full-time employees no later than Friday, **October 14, 2016**.

As always, thank you in advance for your continued support of the ALPI Organization. Should you have any questions and/or concerns, please feel free to direct them to my attention.

DJ/ts

Enclosure



ACKNOWLEDGMENT/COMMITMENT FORM

Annual Meeting & Staff Training Conference

January 20-21, 2017

_____ I acknowledge receipt of the 2017 Annual Meeting & Staff Training Conference Memo

AND

PLEASE CHECK (✓) ONE OF THE FOLLOWING RESPONSES:

I would like to make the following commitment:

_____ One-time payment of \$35.00 (see attached check or money order)

_____ One-time payment of \$35.00 via payroll deduction, effective _____

_____ Bi-weekly payments (i.e. \$3.50, \$5.00) via payroll deduction, effective _____
FINAL COMMITMENT/PAYMENT IS TO BE RECEIVED BY JANUARY 6, 2017

Other comments/concerns are to be addressed to the attention of Ms. Deloris Johnson, CEO

Printed Name _____

Date _____

Note: It is your responsibility to ensure that this **FORM** is returned by the deadline date of **October 14, 2016**.
Faxes will be accepted via Marnita Johnson @ 863/956-3357 or 863/956-5560.

The Agricultural and Labor Program, Incorporated

Financial and Compliance Report
June 30, 2016

Contents

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FSM/US/18P

Independent Auditor's Report

To the Board of Directors
The Agricultural and Labor Program, Incorporated
Lake Alfred, Florida

Report on the Financial Statements

We have audited the accompanying financial statements of The Agricultural and Labor Program, Incorporated, which comprise the statements of financial position as of June 30, 2016 and 2015, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Agricultural and Labor Program, Incorporated as of June 30, 2016 and 2015, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters – Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards, as required by Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards* (Uniform Guidance), is presented for purposes of additional analysis and is not a required part of the financial statement and is presented for the current period only. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our reports dated November 22, 2016, and December 4, 2015, on our consideration of The Agricultural and Labor Program, Incorporated's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of these reports is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. These reports are an integral part of an audit performed in accordance with *Government Auditing Standards* in considering The Agricultural and Labor Program, Incorporated's internal control over financial reporting and compliance.

PSM US LLP

Orlando, Florida
November 22, 2016

The Agricultural and Labor Program, Incorporated

Statements of Financial Position
June 30, 2016 and 2015

	2016	2015
Assets		
Current assets:		
Cash	\$ 1,239,065	\$ 1,075,029
Accounts receivable	430,310	664,862
Prepaid expenses	13,266	14,086
Asset held for sale	34,146	-
Total current assets	1,716,787	1,753,977
Property and equipment, net	1,041,902	1,195,029
Refundable deposits	10,448	10,448
Total assets	\$ 2,769,137	\$ 2,959,454
Liabilities and Net Assets		
Current liabilities:		
Accounts payable	\$ 447,254	\$ 621,305
Accrued expenses	459,808	418,455
Refundable advances	46,613	1,405
Total current liabilities	953,675	1,041,165
Commitments and contingencies (Notes 6 and 9)		
Unrestricted net assets	1,815,462	1,918,289
Total liabilities and net assets	\$ 2,769,137	\$ 2,959,454

See notes to financial statements.

The Agricultural and Labor Program, Incorporated

Statements of Activities
Years Ended June 30, 2016 and 2015

	2016	2015
Support and revenue:		
U.S. Department of Health and Human Services	\$ 7,284,907	\$ 7,284,907
Early Learning Coalitions:		
Voluntary Prekindergarten Education Program (VPK)	923,574	886,828
Childcare	12,175	14,154
State of Florida, Departments of:		
Economic Opportunity	5,581,235	6,020,692
Education and Health	757,585	727,154
In-kind contributions	1,289,522	1,076,821
Other support and revenue	421,597	355,249
Total support and revenue	16,270,595	16,365,805
Expenses:		
Program services:		
Head Start	8,023,797	7,844,805
Child development	878,951	897,422
Energy	4,364,761	4,860,543
Food	683,805	676,160
Social services	1,301,962	1,113,419
Employment and training	7,310	55,019
Total program services	15,260,586	15,447,368
Supporting services:		
Management and general	1,112,836	1,053,395
Total expenses	16,373,422	16,500,763
Decrease in net assets	(102,827)	(134,958)
Net assets:		
Beginning	1,918,289	2,053,247
Ending	\$ 1,815,462	\$ 1,918,289

See notes to financial statements.

The Agricultural and Labor Program, Incorporated
 Statements of Functional Expenses
 Years Ended June 30, 2016 and 2015

2016

Supporting Services Management and General Expenses	Program Services						Head Start	Child Development	Energy	Food	Social Services	Employment and Training	Services	Total
	Supporting Services	Management	and	General	Services	Program								
\$ 6,287,256	\$ 640,696	\$ 5,646,560	\$ -	\$ -	\$ 432,276	\$ 172,486	\$ 534,744	\$ 140,413	\$ 45,347	\$ 102,030	\$ -	\$ -	\$ 1,460,067	\$ 802,324
1,621,695	161,628	1,460,067	-	-	102,030	45,347	140,413	151,565	140,413	45,347	102,030	-	1,460,067	802,324
7,908,951	802,324	7,106,627	-	-	534,306	217,833	675,157	745,167	675,157	217,833	534,306	-	7,106,627	1,608,651
3,749,199	36,870	3,712,329	6,217	319,876	4	3,384,972	-	-	-	-	-	-	1,289,522	3,749,199
1,289,522	-	1,289,522	-	-	-	-	-	-	-	-	-	-	1,289,522	1,289,522
425,086	33,283	391,803	-	37,121	24,772	34,679	29,535	34,679	34,679	24,772	37,121	-	425,086	425,086
462,892	22,375	440,517	-	25,690	52,705	52,162	6,462	52,162	52,162	52,705	25,690	-	462,892	462,892
443,338	-	443,338	900	111,114	22,470	22,470	-	22,470	22,470	111,114	900	-	443,338	443,338
525,427	43,466	481,961	193	57,568	22,272	41,502	72,661	287,765	41,502	22,272	57,568	193	525,427	525,427
448,184	103,137	345,047	-	100,196	23,466	23,466	8,051	200,241	23,466	13,093	100,196	-	448,184	448,184
410,909	-	410,909	-	-	-	-	1,364	79,255	-	330,290	-	-	410,909	410,909
458,822	31,764	427,058	-	85,000	15,979	109,499	10,474	206,106	10,474	15,979	85,000	-	458,822	458,822
152,221	24,533	127,688	-	1,169	1,954	3,956	4,719	115,890	4,719	1,954	1,169	-	152,221	152,221
98,871	15,084	83,787	-	29,922	4,903	16,898	518	31,546	518	4,903	29,922	-	98,871	98,871
\$ 16,373,422	\$ 1,112,836	\$ 15,260,586	\$ 7,310	\$ 1,301,962	\$ 683,805	\$ 4,364,761	\$ 878,951	\$ 8,023,797	\$ 4,364,761	\$ 1,301,962	\$ 7,310	\$ 15,260,586	\$ 16,373,422	\$ 16,373,422

(Continued)

The Agricultural and Labor Program, Incorporated
 Statements of Functional Expenses (Continued)
 Years Ended June 30, 2016 and 2015

2015

Supporting Services Management and General	Program Services							Total	Supporting Services Management and General	Total Expenses
	Child	Energy	Food	Social Services	Employment and Training	Program Services	Head Start			
	\$ 3,847,013	\$ 547,776	\$ 596,295	\$ 174,427	\$ 394,471	\$ 14,374	\$ 5,574,356	\$ 602,387	\$ 6,176,743	
	986,437	133,082	150,952	44,886	85,388	3,739	1,404,484	147,309	1,551,793	
	4,833,450	680,858	747,247	219,313	479,859	18,113	6,978,840	749,696	7,728,536	
	511	-	3,883,461	-	266,059	26,680	4,176,711	41,319	4,218,030	
	1,076,821	-	-	-	-	-	1,076,821	-	1,076,821	
	327,896	38,805	27,437	13,445	17,114	355	425,052	59,289	484,341	
	278,139	31,453	60,926	64,365	16,892	101	451,876	27,135	479,011	
	295,388	-	31,650	-	141,451	3,775	472,264	-	472,264	
	247,111	103,405	23,849	23,014	22,491	332	420,202	35,058	455,260	
	203,560	17,530	9,689	5,985	112,099	2,380	351,243	55,821	407,064	
	57,666	189	-	345,138	-	-	402,993	-	402,993	
	249,185	17,767	51,332	2,040	32,276	365	352,955	8,937	361,892	
	200,148	6,745	11,693	1,139	5,583	3	225,311	50,682	275,993	
	74,930	670	13,259	1,721	19,595	2,925	113,100	25,456	138,558	
	7,844,805	\$ 897,422	\$ 4,860,543	\$ 676,160	\$ 1,113,419	\$ 55,019	\$ 15,447,368	\$ 1,053,395	\$ 16,500,763	
Total expenses	\$ 7,844,805	\$ 897,422	\$ 4,860,543	\$ 676,160	\$ 1,113,419	\$ 55,019	\$ 15,447,368	\$ 1,053,395	\$ 16,500,763	

See notes to financial statements

The Agricultural and Labor Program, Incorporated

Statements of Cash Flows
Years Ended June 30, 2016 and 2015

	2016	2015
Cash flows from operating activities:		
Decrease in net assets	\$ (102,827)	\$ (134,958)
Adjustments to reconcile decrease in net assets to net cash provided by operating activities:		
Depreciation	152,221	275,993
Grant revenue used to purchase property and equipment	(21,849)	(91,512)
In-kind contribution of property	(5,700)	-
Loss on disposal of property and equipment	22,755	-
Changes in operating assets and liabilities:		
(Increase) decrease in assets:		
Accounts receivable	234,552	(109,489)
Prepaid expenses	820	20,162
Increase (decrease) in liabilities:		
Accounts payable	(174,051)	175,706
Accrued expenses	41,353	(11,811)
Refundable advances	45,208	(49,973)
Net cash provided by operating activities	192,482	74,118
Cash flows from investing activities:		
Purchases of property and equipment	(21,849)	(91,512)
Increase in asset held for sale	(28,446)	-
Net cash used in investing activities	(50,295)	(91,512)
Cash flows from financing activities:		
Grant revenue used to purchase property and equipment	21,849	91,512
Net cash provided by financing activities	21,849	91,512
Net increase in cash	164,036	74,118
Cash:		
Beginning	1,075,029	1,000,911
Ending	<u>\$ 1,239,065</u>	<u>\$ 1,075,029</u>

See notes to financial statements.

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 1. Nature of Organization and Significant Accounting Policies

Nature of organization: The Agricultural and Labor Program, Incorporated (ALPI) is a nonprofit corporation organized to provide assistance and services to migrant and seasonal farm-workers, the rural poor and disenfranchised persons located in 27 counties, principally in southern and central Florida. Incorporated in 1976, ALPI represents the combination of four previously existing Community Development Boards, which were part of the Agricultural Labor Project of Coca-Cola Foods (Minute Maid).

A summary of ALPI's significant accounting policies follows:

Basis of accounting: The accompanying financial statements have been prepared on the accrual basis of accounting.

Basis of presentation: A nonprofit organization is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets and permanently restricted net assets. Accordingly, net assets of ALPI and changes therein are classified and reported as follows:

Unrestricted net assets: Net assets that are not subject to donor-imposed stipulations, but may be designated for specific purposes by action of the Board of Directors.

Temporarily restricted net assets: Net assets subject to donor-imposed stipulations that may or will be met either by actions of ALPI and/or the passage of time. When the restriction expires, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statements of activities as net assets released from restrictions. ALPI has no temporarily restricted net assets.

Permanently restricted net assets: Net assets subject to donor-imposed stipulations that they be permanently maintained by ALPI. ALPI has no permanently restricted net assets.

Accounts receivable: Accounts receivable are stated at net realizable value. ALPI uses the allowance method to determine uncollectible accounts receivable. The allowance is established based upon management's analysis of specific accounts and other economic factors. In the opinion of management, no allowance for uncollectible accounts receivable was considered necessary at June 30, 2016 and 2015.

Assets held for sale: Assets held for sale are reported at the lower of the carrying amount or fair value less cost to sell. Assets held for sale consist of land and a single family home.

Property and equipment: Property and equipment are capitalized at cost when purchased, or at fair value at the date of gift, if contributed. Depreciation of property and equipment is provided for using the straight-line method of accounting over the estimated useful lives of the assets. Property and equipment purchased with grant awards are considered to be owned by the ALPI while used in the program or future authorized programs. However, certain awarding agencies, primarily federal agencies, retain a reversionary interest in the property and equipment for specified time periods, requiring the return of the assets or proceeds of sale of the assets in proportion to the percentage of grant funds used upon termination of the grant contract. The cost of assets retired or sold, together with the related accumulated depreciation, is removed from the accounts and any gains or losses from disposition are credited or charged to income. Expenditures for major renewals and betterments that extend the useful lives of property and equipment are capitalized. Expenditures for maintenance and repairs are charged to expense as incurred. Amortization of leasehold improvements is provided on the straight-line method of accounting over the remaining term of the lease or the useful life of the improvement, whichever is shorter.

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 1. Nature of Organization and Significant Accounting Policies (Continued)

Impairment of long-lived assets: The carrying value of property and equipment is reviewed for impairment whenever events or changes in circumstances indicate such value may not be recoverable. Recoverability of assets or asset groups to be held and used is measured by a comparison of the carrying amount of an asset or asset group to future net cash flows expected to be generated by the asset or asset group. If such assets or asset groups are considered to be impaired, the impairment to be recognized is measured by the amount by which the carrying amount of the assets or asset groups exceeds the fair value of the assets or asset groups. Assets or asset groups to be disposed of are reported at the lower of the carrying amount or fair value less cost to sell. No impairment of its long-lived assets or asset groups has been recognized during the years ended June 30, 2016 and 2015.

Support and revenue: ALPI is principally funded by grants from federal, state and local governmental agencies. Grants received provide specified amounts for various grant years principally as reimbursement for allowable costs incurred. Revenue from cost reimbursement grants is recognized as eligible costs are incurred. Receivables are recorded to the extent costs have been incurred but not reimbursed by the granting agencies. Conversely, refundable advances are recorded when grant advances exceed eligible costs incurred. Refundable advances will either be offset against subsequent allowable costs incurred or refunded to the granting agencies upon grant termination.

Contributions: Contributions received are recorded at fair value as unrestricted, temporarily restricted or permanently restricted support depending on the existence or nature of any donor restrictions. Contributions that are restricted by the donor are reported as increases in unrestricted net assets if the restrictions are met in the year in which the contributions are recognized. Contributed services are recognized if the services received create or enhance non-financial assets or require specialized skills, are provided by individuals possessing those skills, and would typically need to be purchased if not provided by contribution. Contributed services recognized by ALPI represent specialized services provided by volunteers for the Head Start Program.

The estimated fair value of contributed materials, facilities and services is reflected as support and expenses in the accompanying statements of activities and statements of functional expenses in the period in which the materials, facilities and services are utilized. Contributed materials, facilities and services amounted to \$968,799 and \$1,076,821 for the years ended June 30, 2016 and 2015, respectively.

Income taxes: ALPI is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code and from state income taxes under similar provisions of the Florida Statutes. Accordingly, no provision for federal and state income taxes has been recorded in the accompanying financial statements. In addition, management assessed whether there were any uncertain tax positions which may give rise to income tax liabilities and determined that there were no such matters requiring recognition in the accompanying financial statements. ALPI files income tax returns in the U.S. federal jurisdiction. Generally, ALPI is no longer subject to U.S. federal income tax examinations by tax authorities for years before June 30, 2013.

Functional allocation of expenses: The cost of providing the various programs and other activities have been detailed in the statements of functional expenses and summarized on a functional basis in the statements of activities. Salaries and other expenses that are associated with a specific program are charged directly to that program. Salaries and other expenses that benefit more than one program are allocated to the various programs based on the relative benefit provided. Occupancy costs are allocated to the various programs based on square footage occupied by each program. ALPI does not actively engage in fundraising activities; therefore, no fundraising expenses are included in the accompanying financial statements.

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 1. Nature of Organization and Significant Accounting Policies (Continued)

Use of estimates: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America (U.S. GAAP) requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of support and revenue, and expenses during the reporting period. Actual results could differ from those estimates.

Concentrations of credit risk: ALPI's financial instruments that are exposed to concentrations of credit risk consist of cash placed with federally insured financial institutions. Such accounts may at times exceed federally insured limits. ALPI has not experienced any losses on such accounts.

Concentrations: ALPI's primary funding sources are federal and state grants and awards.

Recent accounting pronouncements: In May 2014, the Financial Accounting Standards Board (FASB) issued Accounting Standards Update (ASU) No. 2014-09, *Revenue from Contracts with Customers (Topic 606)*, requiring an entity to recognize the amount of revenue to which it expects to be entitled for the transfer of promised goods or services to customers. The update will replace most existing revenue recognition guidance in U.S. GAAP when it becomes effective and permits the use of either a full retrospective or retrospective with cumulative effect transition method. Early adoption is not permitted. The updated standard will become effective for annual reporting periods beginning after December 15, 2018. ALPI has not yet selected a transition method and has not yet evaluated the impact the updated standard will have on the financial statements.

In February 2016, the FASB issued ASU No. 2016-02, *Leases (Topic 842)*. The guidance in this ASU supersedes the leasing guidance in Topic 840, *Leases*. Under the new guidance, lessees are required to recognize lease assets and lease liabilities on the statement of financial position for all leases with terms longer than 12 months. Leases will be classified as either finance or operating, with classification affecting the pattern of expense recognition in the income statement. The new standard is effective for fiscal years beginning after December 15, 2019. Management is currently evaluating the impact of this ASU on its financial statements.

In August 2016, the FASB issued ASU No. 2016-14, *Not-for-Profit Entities (Topic 958): Presentation of Financial Statements of Not-for-Profit Entities*. The amendments in this ASU make improvements to the information provided in financial statements and accompanying notes of not-for-profit entities. The amendments set forth the FASB's improvements to net asset classification requirements and the information presented about a not-for-profit entity's liquidity, financial performance and cash flows. The ASU will be effective for fiscal years beginning after December 15, 2017. Earlier application is permitted. The changes in this ASU should generally be applied on a retrospective basis in the year that the ASU is first applied. Management is currently evaluating the impact of this ASU on its financial statements.

The FASB has issued certain new or modifications to, or interpretations of, existing accounting guidance in addition to the ASU's described above. ALPI has considered the new pronouncements and does not believe that any other new or modified guidance will have a material impact on ALPI's reported financial position or activities in the near term.

Subsequent events: Management has assessed subsequent events through November 22, 2016, the date the financial statements were available to be issued.

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 2. Accounts Receivable

Accounts receivable at June 30, 2016 and 2015, consists of the following:

	2016	2015
State of Florida, Department of Economic Opportunity	\$ 302,253	\$ 288,653
Education	14,000	-
Health	7,782	15,087
U.S. Department of Health and Human Services	58,907	295,907
Florida Non-Profit Housing, Inc.	16,717	13,164
Children's Services Council of St. Lucie County	13,293	6,222
Senior Connection Center, Inc.	8,091	19,217
Other	9,267	16,858
Early Learning Coalition of St. Lucie County	-	9,754
	<u>\$ 430,310</u>	<u>\$ 664,862</u>

Note 3. Property and Equipment

Property and equipment at June 30, 2016 and 2015, consists of the following:

	2016	2015
Land	\$ 545,000	\$ 545,000
Buildings and improvements	2,671,510	2,671,510
Leasehold improvements	240,058	468,841
Machinery and equipment	1,472,868	1,540,316
Furniture and fixtures	239,967	241,911
	<u>5,169,403</u>	<u>5,467,578</u>
Less accumulated depreciation	<u>(4,127,501)</u>	<u>(4,272,549)</u>
	<u>\$ 1,041,902</u>	<u>\$ 1,195,029</u>

Note 4. Accrued Expenses

Accrued expenses at June 30, 2016 and 2015, consists of the following:

	2016	2015
Salaries	\$ 153,443	\$ 122,405
Retirement benefits	218,304	205,650
Other	88,061	90,400
	<u>\$ 459,808</u>	<u>\$ 418,455</u>

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 5. Line of Credit

ALPI has a revolving line of credit with a bank totaling \$250,000, bearing interest at the prime rate plus 1.75% (5.25% at June 30, 2016) which is unsecured and matures on February 3, 2017. There was no balance outstanding under the line of credit at June 30, 2016 and 2015.

Note 6. Leases

ALPI leases various office space and equipment under noncancelable operating leases. Future minimum lease payments under noncancelable operating leases (with initial or remaining lease terms in excess of one year) as of June 30, 2016, are as follows:

Years ending June 30:	
2017	\$ 56,800
2018	27,800
2019	11,900
2020	1,600
	<u>\$ 98,100</u>

Rent expense for the years ended June 30, 2016 and 2015, amounted to \$193,201 and \$208,417, respectively.

Note 7. Other Support and Revenue

Other support and revenue for the years ended June 30, 2016 and 2015, consists of the following:

	2016	2015
Senior Connection Center, Inc.	\$ 115,472	\$ 28,505
E-Rate	90,714	124,693
Children's Services Council of St. Lucie County	72,128	80,453
Other	48,426	37,986
Florida Non-Profit Housing, Inc.	47,053	47,470
Child care fees	22,809	20,067
Florida Association for Community Action, Inc.	12,709	-
U.S. Department of Housing and Urban Development	12,286	16,075
	<u>\$ 421,597</u>	<u>\$ 355,249</u>

Note 8. Employee Benefit Plan

ALPI maintains a defined contribution retirement plan (the Plan) under Section 403(b) of the Internal Revenue Code. The Plan covers substantially all ALPI employees and will provide participating employees with additional retirement benefits from discretionary employer contributions. Contribution expense accrued by ALPI under this Plan was \$218,304 and \$205,650 for the years ended June 30, 2016 and 2015, respectively.

The Agricultural and Labor Program, Incorporated

Notes to Financial Statements

Note 9. Contingencies

ALPI receives significant financial assistance from federal, state and local governmental agencies in the form of grants. The disbursement of awards received under these programs generally requires compliance with terms and conditions specified in the grant agreements and is subject to audit by the awarding agencies. Disallowed claims, if any, resulting from such audits may become liabilities of ALPI. However, in the opinion of management, disallowed claims resulting from such audits, if any, will not have a material effect on ALPI's financial statements.

The Agricultural and Labor Program, Incorporated
 Schedule of Expenditures of Federal Awards
 Year Ended June 30, 2016

Grantor/Pass-Through/Program Title	Grant Number	Federal CFDA #	Grant Period	Federal Expenditures
Federal Awards:				
U.S. Department of Health and Human Services: Direct Program: Head Start	04CH4739/02		7/1/15-6/30/16	\$ 7,284,907
Program total				<u>7,284,907</u>
U.S. Department of Health and Human Services passed through the following:				
State of Florida Department of Economic Opportunity Low Income Home Energy Assistance 15EA-0F-07-63-08-001		93.568	3/1/15-3/31/16	3,540,175
Low Income Home Energy Assistance Senior Connection Center, Inc.		93.568	3/1/16-3/31/17	801,926
Low Income Home Energy Assistance EH-15/16-ALPI	EH-15/16-ALPI	93.568	4/1/15-3/31/16	86,118
Low Income Home Energy Assistance EH-16/17-ALPI	EH-16/17-ALPI	93.568	4/1/15-12/31/17	29,353
Program total				<u>4,457,572</u>
State of Florida Department of Economic Opportunity: Community Services Block Grant Community Services Block Grant	15SB-0D-07-63-08-001	93.569	10/1/14-9/30/15	300,472
16SB-0D-07-63-08-001		93.569	10/1/15-12/31/16	938,661
Program total				<u>1,239,133</u>
U.S. Department of Agriculture passed through the State of Florida Department of Health: Child and Adult Care Food Program Child and Adult Care Food Program	S-501	10.558	10/1/14-9/30/15	119,176
S-501		10.558	10/1/15-9/30/16	574,408
Program total				<u>693,584</u>

(Continued)

The Agricultural and Labor Program, Incorporated

Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2016

Grantor/Pass-Through/Program Title	Grant Number	Federal CFDA #	Grant Period	Federal Expenditures
U.S. Department of Labor passed through the following: State of Florida Department of Education: Farmworker Jobs and Education Program Florida Non-Profit Housing, Inc.:	755-4056B-6CFJ1		7/1/15-6/30/16	\$ 64,000
Farmworker Jobs and Education Program			7/1/15-6/30/16	47,053
Program total				111,053
U.S. Department of Housing and Urban Development: Direct Program: Housing Counseling Assistance Program Housing Counseling Assistance Program	HC15-0821-033		10/1/14-3/31/16	10,336
Housing Counseling Assistance Program			10/1/15-3/31/17	1,951
Program total				12,287
Total expenditures of federal awards				\$ 13,798,536

See notes to schedule of expenditures of federal awards

The Agricultural and Labor Program, Incorporated
Notes to Schedule of Expenditures of Federal Awards
Year Ended June 30, 2016

Note 1. Basis of Presentation

The accompanying schedule of expenditures of federal awards (the Schedule) includes the federal grant activity of The Agricultural and Labor Program, Incorporated (ALPI) under programs of the federal government for the year ended June 30, 2016. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)*. Because the Schedule presents only a selected portion of the operations of ALPI, it is not intended to and does not present the financial position, changes in net assets or cash flows of ALPI.

Also, the grants reflect transactions for the June 30, 2016, fiscal year irrespective of the year of grant award and, accordingly, the schedule of expenditures of federal awards does not include a full year's activity for grants awarded or terminated on dates not coinciding with the aforementioned fiscal year.

Note 2. Summary of Significant Accounting Policies for Federal Award Expenditures

Expenditures reported on the Schedule are recognized on the accrual basis of accounting. Such expenditures are reported following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Pass-through entity identifying numbers (grant numbers) are presented where available.

Expenditures include indirect costs, related primarily to general administrative services, which are allocated to direct cost objectives (including federal awards) based on negotiated formulas commonly referred to as administrative cost rates. Administrative cost rates allocated to such awards for the year ended June 30, 2016, were based on fixed rates negotiated with ALPI's cognizant federal agency, the U.S. Department of Health and Human Services.

Note 3. Subrecipients

Of the federal expenditures presented in the Schedule, ALPI provided federal awards to subrecipients as follows:

Program Title	Federal CFDA #	Amount Provided to Subrecipients
Low Income Home Energy Assistance	93.568	\$ 22,470
Community Services Block Grant	93.569	111,114
		<u>\$ 133,584</u>

Note 4. Head Start Program

ALPI operates full year Head Start/Early Head Start Programs. The Head Start/Early Head Start Programs provide comprehensive early child development for disadvantaged infants and preschool children and their families. Under these programs, ALPI is required to obtain matching revenue from private sources and in-kind contributions. ALPI obtained the required matching revenue and in-kind contributions for the year ended June 30, 2016, as follows:

In-kind contributions	\$ 1,289,522
Early Learning Coalitions – VPK	531,705
	<u>\$ 1,821,227</u>

Of the \$923,574 in Early Learning Coalitions – VPK revenue shown on the accompanying statements of activities, \$531,705 was used to meet the in-kind match requirement.

**Report on Internal Control Over Financial Reporting
and on Compliance and Other Matters Based on an Audit of Financial
Statements Performed in Accordance With Government Auditing Standards**

Independent Auditor's Report

To the Board of Directors
The Agricultural and Labor Program, Incorporated
Lake Alfred, Florida

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of The Agricultural and Labor Program, Incorporated, which comprise the statement of financial position as of June 30, 2016, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated November 22, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered The Agricultural and Labor Program, Incorporated's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of The Agricultural and Labor Program, Incorporated's internal control. Accordingly, we do not express an opinion on the effectiveness of The Agricultural and Labor Program, Incorporated's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether The Agricultural and Labor Program, Incorporated's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of This Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of The Agricultural and Labor Program, Incorporated's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering The Agricultural and Labor Program, Incorporated's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

RSM US LLP

Oriando, Florida
November 22, 2016

Report on Compliance for Each Major Federal Program and Report on Internal Control Over Compliance Required by the Uniform Guidance

Independent Auditor's Report

To the Board of Directors
The Agricultural and Labor Program, Incorporated
Lake Alfred, Florida

Report on Compliance for Each Major Federal Program

We have audited The Agricultural and Labor Program, Incorporated's compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of The Agricultural and Labor Program, Incorporated's major federal programs for the year ended June 30, 2016. The Agricultural and Labor Program, Incorporated's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts and grants applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of The Agricultural and Labor Program, Incorporated's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America, the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; the audit requirements of Title 2 U.S. Code of *Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about The Agricultural and Labor Program, Incorporated's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination on The Agricultural and Labor Program, Incorporated's compliance.

Opinion on Each Major Federal Program

In our opinion, The Agricultural and Labor Program, Incorporated complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.

Report on Internal Control Over Compliance

Management of The Agricultural and Labor Program, Incorporated is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered The Agricultural and Labor Program, Incorporated's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of The Agricultural and Labor Program, Incorporated's internal control over compliance.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

PSM US LLP

Oriando, Florida
November 22, 2016

The Agricultural and Labor Program, Incorporated

Schedule of Findings and Questioned Costs
Year Ended June 30, 2016

I – Summary of Auditor's Results

Financial Statements

Type of auditor's report issued:

Unmodified

Internal control over financial reporting:

Material weakness(es) identified? Yes X No

Significant deficiency(ies) identified that are not considered to be material weaknesses?

 Yes X None Reported

Noncompliance material to financial statements noted?

 Yes X No

Federal Awards

Internal control over major programs:

Material weakness(es) identified? Yes X No

Significant deficiency(ies) identified that are not considered to be material weaknesses?

 Yes X None Reported

 Yes X None Reported

Type of auditor's report issued on compliance for major programs:

Unmodified

Any audit findings disclosed that are required to be reported in accordance with Section 2

CFR 200. 516 (a) Yes X No

Identification of major programs:

CFDA Number(s)

93.569

93.568

Name of Federal Program or Cluster

Community Services Block Grant

Low Income Home Energy Assistance

Dollar threshold used to distinguish between Type A and type B programs:

\$ 750,000

Auditee qualified as low-risk auditee?

 X Yes No

II – Financial Statement Findings

No matters were reported.

III – Findings and Questioned Costs for Federal Awards

No matters were reported.

IV – Other Reporting

1. No Corrective Action Plan is presented because there were no findings required to be reported under the Federal Single Audit Act.
2. No Summary Schedule of Prior Audit Findings is presented because there were no prior audit findings.

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Information about Form 990 and its instructions is at www.irs.gov/form990.

2014

Open to Public Inspection

A For the 2014 calendar year, or tax year beginning JUL 1, 2014 and ending JUN 30, 2015

B Check if applicable: C Name of organization THE AGRICULTURAL AND LABOR PROGRAM, INC.

D Employer identification number 59-1634148

Address change Name change Initial return Final return/terminated Amended return Application pending

Doing business as P.O. BOX 3126

Number and street (or P.O. box if mail is not delivered to street address) Room/suite

City or town, state or province, country, and ZIP or foreign postal code

WINTER HAVEN, FL 33885

F Name and address of principal officer: DELORIS JOHNSON

SAME AS C ABOVE

I Tax-exempt status: [X] 501(c)(3) [] 501(c) () (insert no.) [] 4947(a)(1) or [] 527

J Website: WWW.ALPI.ORG

K Form of organization: [X] Corporation [] Trust [] Association [] Other

L Year of formation: 1976 M State of legal domicile: FL

Part I Summary

1 Briefly describe the organization's mission or most significant activities: TO PROVIDE ASSISTANCE TO MIGRANT & SEASONAL FARM WORKERS, THE RURAL POOR, & DISENFRANCHISED PERSONS.
2 Check this box [] if the organization discontinued its operations or disposed of more than 25% of its net assets.
3 Number of voting members of the governing body (Part VI, line 1a) 3
4 Number of independent voting members of the governing body (Part VI, line 1b) 4
5 Total number of individuals employed in calendar year 2014 (Part V, line 2a) 288
6 Total number of volunteers (estimate if necessary) 661
7 a Total unrelated business revenue from Part VIII, column (C), line 12 0.
b Net unrelated business taxable income from Form 990-T, line 34 0.

Table with 2 columns: Prior Year, Current Year. Rows include Contributions and grants, Program service revenue, Investment income, Other revenue, Total revenue, Grants and similar amounts paid, Benefits paid to or for members, Salaries, other compensation, Professional fundraising fees, Total fundraising expenses, Other expenses, Total expenses, Revenue less expenses.

Table with 2 columns: Beginning of Current Year, End of Year. Rows include Total assets, Total liabilities, Net assets or fund balances.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here Signature of officer DELORIS JOHNSON, CEO Date 11/17/15

Print/Type preparer's name Preparer's signature THERESA A. BURDINE, CPA Date 11/17/15
Firm's name RSM US LLP Firm's EIN 42-0714325
Firm's address 7351 OFFICE PARK PL MELBOURNE, FL 32940

May the IRS discuss this return with the preparer shown above? (see instructions) [X] Yes [] No
Phone no. 321-751-6200

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission:

THE AGRICULTURAL AND LABOR PROGRAM, INC. ("ALPI") IS A NON-PROFIT CORPORATION ORGANIZED TO PROVIDE ASSISTANCE AND SERVICES TO MIGRANT AND SEASONAL FARM WORKERS, THE RURAL POOR, AND DISENFRANCHISED PERSONS LOCATED IN 27 COUNTIES, PRINCIPALLY IN EASTERN AND CENTRAL FLORIDA.

2 Did the organization undertake any significant program services during the year which were not listed on

the prior Form 990 or 990-EZ? Yes X No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes X No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ 1,573,582. including grants of \$ 0.) (Revenue \$ 20,067.) FOOD AND CHILD CARE CENTER ACTIVITIES PROVIDED BY CONTRACT FROM STATE OF FLORIDA DEPT OF HEALTH AND REHABILITATION SERVICES. ESTIMATED ACTIVITY - 791 CHILDREN FOR FOOD AND CHILD CARE ACTIVITIES.

4b (Code:) (Expenses \$ 6,070,300. including grants of \$ 4,394,395.) (Revenue \$) EMERGENCY ASSISTANCE PROGRAMS INCLUDING ENERGY, USDA RURAL DEVELOPMENT, AND FARM WORKER PROGRAMS UNDER CONTRACT FROM THE STATE OF FLORIDA DEPARTMENT OF EDUCATION. ESTIMATED ACTIVITY - 31,210 CLIENTS SERVED.

4c (Code:) (Expenses \$ 6,767,984. including grants of \$ 295,899.) (Revenue \$) PRESCHOOL TRAINING OF CHILDREN UNDER THE HEAD START PROGRAM CONTRACTED WITH THE U.S. DEPT OF HEALTH AND HUMAN SERVICES. ESTIMATED ACTIVITY - 791 CHILDREN ENROLLED.

4d Other program services (Describe in Schedule O.)

(Expenses \$) (Revenue \$)

4e Total program service expenses 14,411,866.

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I		
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V		X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X	X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional	X	
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	X	
14a Did the organization maintain an office, employees, or agents outside of the United States? b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV	X	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV	X	
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV	X	
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I	X	
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	X	
20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		X

Part IV Checklist of Required Schedules (continued)

	Yes	No
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	X	
22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and II	X	
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J	X	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a		X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I		X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I		X
26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If "Yes," complete Schedule L, Part II		X
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part III		X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	X	
b A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	X	
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV	X	
29 Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	X	
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M	X	
31 Did the organization liquidate, terminate, or dissolve and cease operations?	X	
If "Yes," complete Schedule N, Part I		
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II	X	
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I	X	
34 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1		
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?	X	
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2		
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2		
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?		X
Note. All Form 990 filers are required to complete Schedule O	X	

Form 990 (2014)

Part V Statements Regarding Other IRS Filings and Tax Compliance

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

	1a	1b	1c	Yes	No
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	82				
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable		0			
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?				X	
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	288			X	
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns?				X	
Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)					
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?					X
b If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O					X
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?					X
b If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).					X
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?					X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?					X
c If "Yes," to line 5a or 5b, did the organization file Form 8886-T?					X
6a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?					X
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?					X
7 Organizations that may receive deductible contributions under section 170(c).					
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?					X
b If "Yes," did the organization notify the donor of the value of the goods or services provided?					X
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?					X
d If "Yes," indicate the number of Forms 8282 filed during the year	7d				X
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?					X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?					X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?					X
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?					X
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?					X
9 Sponsoring organizations maintaining donor advised funds.					X
a Did the sponsoring organization make any taxable distributions under section 4966?					X
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?					X
10 Section 501(c)(7) organizations. Enter:					
a Initiation fees and capital contributions included on Part VIII, line 12	10a				
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b				
11 Section 501(c)(12) organizations. Enter:					
a Gross income from members or shareholders	11a				
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	11b				
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a				
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b				
13 Section 501(c)(29) qualified nonprofit health insurance issuers.					
a Is the organization licensed to issue qualified health plans in more than one state?					
Note. See the instructions for additional information the organization must report on Schedule O.					
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b				
c Enter the amount of reserves on hand	13c				
14a Did the organization receive any payments for indoor tanning services during the tax year?	14a				X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b				X

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

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

Section A. Governing Body and Management

	1a	1b	20	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year. If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.			20		
b Enter the number of voting members included in line 1a, above, who are independent.			20		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?					X
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?					X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?					X
5 Did the organization become aware during the year of a significant diversion of the organization's assets?					X
6 Did the organization have members or stockholders?					X
7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?					X
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?					X
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:					X
a The governing body?					X
b Each committee with authority to act on behalf of the governing body?					X
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.					X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
10a Did the organization have local chapters, branches, or affiliates?		X
b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?		X
11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?		X
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		X
12a Did the organization have a written conflict of interest policy? If "No," go to line 13.		X
b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?		X
c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done.		X
13 Did the organization have a written whistleblower policy?		X
14 Did the organization have a written document retention and destruction policy?		X
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		X
a The organization's CEO, Executive Director, or top management official		X
b Other officers or key employees of the organization		X
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		X
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		X

Section C. Disclosure

- 17** List the states with which a copy of this Form 990 is required to be filed **FL**
- 18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records: **DENNIS GNIEWEK - 863-956-3491**

P.O. BOX 3126, WINTER HAVEN, FL 33881

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

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

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
 - List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
 - List the organization's **five current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
 - List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
 - List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.
- List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)				(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee Highest compensated employee Former			
(1) WILLIAM HOLT CHAIRPERSON	4.00	X		X		0.	0.	0.
(2) DAVID WALKER VICE CHAIRPERSON	4.00	X		X		0.	0.	0.
(3) JOSEPHINE HOWARD SECRETARY	4.00	X		X		0.	0.	0.
(4) MARJORIE GASKIN TREASURER	4.00	X		X		0.	0.	0.
(5) PATRICIA BROWN DIRECTOR	4.00	X		X		0.	0.	0.
(6) ANNESSA CHILIOUS DIRECTOR	4.00	X		X		0.	0.	0.
(7) KATIE CLARKE DIRECTOR	4.00	X		X		0.	0.	0.
(8) DOROTHY CURRY DIRECTOR	4.00	X		X		0.	0.	0.
(9) ALEXIS ECHEVERRIA DIRECTOR	4.00	X		X		0.	0.	0.
(10) PATRICIA GAMBLE DIRECTOR	4.00	X		X		0.	0.	0.
(11) MARVA HAWKINS DIRECTOR	4.00	X		X		0.	0.	0.
(12) LAVITA HOLMES DIRECTOR	4.00	X		X		0.	0.	0.
(13) ANTONIA JACKSON DIRECTOR	4.00	X		X		0.	0.	0.
(14) GLENDA JONES DIRECTOR	4.00	X		X		0.	0.	0.
(15) VERNON MCQUEEN DIRECTOR	4.00	X		X		0.	0.	0.
(16) CHESTER MCNORTON DIRECTOR	4.00	X		X		0.	0.	0.
(17) LESTER ROBERTS DIRECTOR	4.00	X		X		0.	0.	0.

2016/2017 FUNDING SOURCES

- US Department of Health and Human Services (Head Start/Early Head Start)
- State of Florida Department of Economic Opportunity (LIHEAP & CSBG)
- Frostproof Child Development Center
- Department Elder Affairs
- US Department of Agriculture (USDA Food)
- FL Department of Economic Opportunities
- United Way of St. Lucie County
- United Way of Central Florida
- Florida Non-Profit Housing, Inc.
- Children's Services Council of St. Lucie County
- City of Ft. Pierce
- County of St. Lucie
- Department of Education
- Early Learning Coalition of Polk County
- Early Learning Coalition of St. Lucie County
- St. Lucie County School Board
- US Department of Housing & Urban Development (HUD)
- E-Rate

The Agricultural and Labor Program, Inc.
Fiscal Year 2016-2017
Agency Budget

REVENUES	FY 17	FY16
Head Start / Early Head Start (St. Lucie/Polk Counties)	7,284,907	7,284,907
ALPI Child Care Centers (St. Lucie/Polk Counties)	43,200	41,313
St Lucie County Early Learning VPK	867,528	869,415
USDA Food	1,189,748	1,189,748
Children's Services Council	103,599	84,599
Department of Economic Opportunity LIHEAP	4,555,571	4,555,571
Senior Connection Center, Inc. EHEAP	114,623	114,623
Department of Economic Opportunity CSBG	1,772,883	1,110,027
Department of Education EA	60,000	60,000
Florida Non Profit Housing	47,053	47,053
H.U.D. Housing Counseling	15,363	13,447
ATEC	10,100	10,100
FACA/OAG	19,647	39,353
E-rate	95,161	94,582
Fund Raiser	35,000	23,000
Other	1,145	12,600
In-Kind / Cash Match	<u>1,821,227</u>	<u>1,821,227</u>
TOTAL REVENUE	18,036,755	17,371,565
EXPENSES		
Salaries and Wages	6,781,063	6,517,699
Fringe Benefits	1,727,006	1,663,388
Communications	215,232	171,899
Travel	123,377	106,099
Food	773,240	771,440
Rent and Utilities	551,535	487,232
Contractual Services	458,672	399,360
Materials and Supplies	620,442	588,830
Training	246,482	227,225
Grants, Subsidies and Contributions	4,160,401	3,965,138
Subcontractors	399,450	515,478
In-Kind	1,821,227	1,821,227
Other	<u>158,629</u>	<u>136,550</u>
TOTAL EXPENSES	18,036,755	17,371,565

BANKING INSTITUTIONS

Bank of America

- Operating Account
- Interest Bearing Account
- Interest Bearing Account - Grant Advances

Sun Trust

- Federal Funds Draw Down Account
- Investment Account
- Sunshine Account

Wachovia

- George W. Truitt Child Care Fee Account
- Checking Account
- Interest Bearing Account

Citizens Bank & Trust

- Frostproof Child Care Fee Account

PROPOSED SHARED GOVERNANCE TASK AND TIMELINES

- Board of Directors
- Head Start/Early Head Start Policy Council
- Advisory Councils

PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES



TASK(S)	ACTION ITEM	TRAINING	SPECIAL EVENT	Committee(s)/ Person Assigned
FEBRUARY				
Board Orientation		X		CEO, Bd Chair
Establish Board Meeting Schedule	x			CEO, Bd Chair
Establish Board Committee Assignments	X			CEO, Bd Chair
Establish Board/Policy Council Tasks & Timelines	X			CEO, Bd Chair
Review Head Start Policy Council Meeting Schedule	x			CEO, Bd Chair
Confirm elections and review Advisory Council Meeting Schedules	x			CEO, Bd Chair
Review Fundraising State Certification	X			CEO, Bd Chair
Attend Region IV Head Start Conference		X		TBA
MARCH				
Review Head Start Self-Assessment Report	X			CEO, Bd Chair, PP
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports <ul style="list-style-type: none"> • Performance • Reimbursement 	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend NCAF Legislative Conference		X		TBA

PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES



APRIL				
Board Meeting/ALPI Sites Visit	X			CEO, Bd Chair
Discuss 2018 Preliminary Operating Budget	X			CEO, Bd Chair, B/F
Establish Annual Picnic Plan/Budget	X			CEO, Bd Chair, SE
Approve 2017 Auditing Firm	X			CEO, Bd Chair, B/F
Review Board Recognition/Appreciation Awards Plan * Identify CEO Annual Award for 2018	X			CEO, Bd Chair, SE
Review Head Start/EHS 2017-2018 Program Goals and Objectives	X			CEO, PP
Review community target areas to be served by ALPI Head Start/EHS in 2016-2017	X			CEO, PP
Review ALPI Head Start/EHS 2017-2018 Community Resource Plan	X			CEO, /PP
Review programs' quarterly monitoring reports	X			CEO, PP
Review Advisory Council Membership Recruitment Plan	X			CEO, MS
Review Head Start/EHS Policy Council Membership Recruitment and Organization Plan	X			CEO, MS, BL
Review Head Start/EHS 2016-2017 Self-Assessment Results and QIP	X			CEO, PP
Review ALPI Head Start/EHS 2017-2018 criteria for recruitment, selection and enrollment priorities	X			CEO, PP
Review Agency 2016-2017 Legislative Agenda/Plan	X			CEO, GA
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports <ul style="list-style-type: none"> • Performance • Reimbursement • Inkind Match 	X			CEO, Bd Chair, PP
Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend FHSA Conference			X	TBA

**PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES**



TASK(S)	ACTION ITEM	TRAINING	SPECIAL EVENT	Committee(s)/ Person Assigned
MAY				
Finalize Annual Picnic Plan/Budget • Send out RFP for Food Vendors	X			CEO, Bd Chair, SE
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grants Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend FACA Conference		X		TBA
JUNE				
Board Meeting	X			CEO, Bd Chair
Approve Employee Health Insurance Proposal	X			CEO, Bd Chair, EC
Conduct Annual Picnic Activities	X		X	CEO, Bd Chair, SE
Review Annual Board Management Retreat Plans	X			CEO, Bd Chair
Review Annual Meeting Program Procedures • Award Presenters • Keynote Speaker Criteria • Annual Meeting Program Agenda Content • Include Community Services Awards Recipients' Bio	X			CEO, Bd Chair, SE
Review Succession Planning Timelines	X			CEO, Bd Chair, SP
Identify nominee(s) for Volunteer Services Awards (ALPI, Robert Bryant, Jr., FACA, FHSA, SEACAA, Region IVHS, NHSA)	X			CEO, SE
Review process for contacting individuals/businesses receiving corporate/community awards	X			SE
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP

**PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES**



Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Approve proposed grant applications	X			CEO, Bd Chair, PP
CAPLAW CONFERENCE		X		TBA

JULY

Review Agency Retirement Plan	X			CEO, Bd Chair, EC
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports <ul style="list-style-type: none"> • Performance • Reimbursement • Inkind Match 	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
ONE GOAL SUMMER CONFERENCE		X		TBA

AUGUST

Review Tripartite Board Membership & Meeting Attendance	X			CEO, Bd Chair, BL
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports <ul style="list-style-type: none"> • Performance • Reimbursement • Inkind Match 	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend NCAF Conference		X		TBA
Attend CAP Conference		X		TBA

SEPTEMBER

Board Meeting	X			CEO, Bd Chair
Review CEO Performance Evaluation Procedures & Instrument for 2016	X			CEO, Bd Chair
Review Strategic Plan Status	X			CEO, Bd Chair, PP

**PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES**



Establish Risk Management Assessment Checklist	X			CEO, PP
Identify Board Nominees for 2018 Recognition/Appreciation Awards	X			CEO, Bd Chair, SE
Review Board Membership Recruitment Plan	X			CEO, Bd Chair, BL
Review programs' quarterly monitoring reports	X			CEO, PP
Review Head Start/EHS Policy Council Election procedures/results	X			CEO, BL
Elect Board Member to serve on the 2017-2018 Policy Council (identify future members)	X			CEO, EC
Approve Head Start/EHS Policy Council 2017-2018 Community Representatives	X			CEO, EC
Certify Corporate Membership Roster for Advisory Council Annual Election	X			CEO, MS
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports <ul style="list-style-type: none"> • Performance • Reimbursement • Inkind Match 	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend SEACAA Conference		X		TBA

OCTOBER

Send out 1 st Annual Meeting Notices <ul style="list-style-type: none"> • Corporate Sponsorship Solicitation • Greetings and Proclamation Solicitation • Finalize Contract Negotiations (Speakers, Venue) 	X			CEO
Review Annual Meeting Mailing List	X			CEO, Bd Chair, SE
Review Annual Meeting Invitation Draft	X			CEO, Bd Chair, SE
Review Community Assessment Report	X			CEO, Bd Chair, PP
Review Financial Reports	X			CEO, Bd Chair, B/F

**PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES**



Review Y-T-D Grant Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP
Approve proposed grant applications	X			CEO, Bd Chair, PP
Attend NCAF Energy Conference		X		TBA

NOVEMBER				
Board Meeting	X			CEO, Bd Chair
Conduct CEO Annual Performance Evaluation	X			CEO, Bd Chair
Annual Board Management Retreat	X	X		CEO, Bd Chair,
Review/Approve Annual Audit	X			CEO, Bd Chair, B/F
Review Annual Form 990 Preliminary Report	X			CEO, Bd Chair, B/F
2018 Annual Meeting Luncheon Program • Identify Program Participants • Include Bio of Awards Recipients in Program	X			CEO, Bd Chair
Confirm Regional Advisory Councils Election Report	X			CEO, Bd Chair, BL
Confirm Head Start Policy Council Election Report	X			CEO, Bd Chair, BL
Review Strategic Plan Status Report	X			CEO, Bd Chair, PP
Certify Advisory Council Annual Election Procedures/Results	X			CEO, BL
Review ALPI Head Start/EHS 2016 Self-Assessment Procedures	X			CEO, PP
Review Community Assessment Update Procedures	X			CEO, PP
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP
Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Approve proposed grant applications	X			CEO, Bd Chair, PP

PROPOSED BOARD OF DIRECTORS
2017 TASKS AND TIMELINES



DECEMBER				
Annual Meeting Notices (follow-up) • Corporate Sponsorship Solicitation • Greetings and Proclamation Solicitation • Finalize Contract Negotiations (Speakers, Venue)	X			CEO
Distribute Annual Meeting Invitations	X			CEO
Review programs' quarterly monitoring reports	X			CEO, PP
Review 2017 Draft Corporate Annual Report	X			CEO, Bd Chair, SE
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP
Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Approve proposed grant applications	X			CEO, Bd Chair, PP
JANUARY 2018				
Closeout Board Meeting	X			CEO, Bd Chair
Annual Corporate Membership Meeting	X			CEO, Bd Chair
Annual Corporate Luncheon			X	CEO, Bd Chair
Installation of Board Members	X			CEO
Recognition of Outgoing Board Members	X			CEO
Recognition of Board Leadership	X			CEO
Recognition of Board Volunteer Services	X			CEO
Recognition of Corporate/Community Services • Highlight recipients on website	X			CEO
Review Financial Reports	X			CEO, Bd Chair, B/F
Review Y-T-D Grant Reports • Performance • Reimbursement • In-Kind Match	X			CEO, Bd Chair, PP
Review Board Fundraising Report	X			CEO, Bd Chair, B/F
Approve proposed grant applications	X			CEO, Bd Chair, PP



**CENTRAL REGION ADVISORY COUNCIL
PROPOSED TASKS & TIMELINES
2017**

TASK(S)	ACTION ITEM	TRAINING	SPECIAL EVENT	Committee(s)/ Person Assigned
FEBRUARY				
Attend Shared Governance Orientation		X		CEO, Bd Chair
MARCH				
CRAC Meeting <ul style="list-style-type: none"> • Finalize Council Meeting Schedule • Confirm Council Committee Assignments • Review Council Tasks & Timelines • Review application for scholarships • Identify location and Vendor for Annual Family Picnic 				Full Council
MAY				
CRAC Meeting <ul style="list-style-type: none"> • Review Advisory Council Membership Recruitment Plan • Identify Advisory 2016-2017 Legislative Agenda/Plan 	X			
Select Representative to attend FACA Training Conference		X		Full Council
JUNE				
CRAC Host Annual Family Picnic Activities			X	Full Council
AUGUST				
CRAC Meeting Finalize Annual Meeting Plans to Include: <ul style="list-style-type: none"> • Program Booklet • Program Participants • Location /Caterer • Invitation Mail-out • Review Council's Membership & Meeting Attendance • Certify Council's Corporate Membership • Select Individual/Organization for 2018 Community Service Award 	X			Full Council
OCTOBER				
Annual Corporate Membership Meeting <ul style="list-style-type: none"> • Recognition of Council Volunteer Services • Recognition of Outgoing Council Members • Installation of 2017-2018 Council Members & Officers 	X			Full Council

2016 EASTERN REGION ADVISORY COUNCIL
PROPOSED TASKS AND TIMELINES

TASKS:	MONTH	COMMITTEE/MEMBER ASSIGNED
Shared Governance Orientation 2/25-17	FEBRUARY	
March 20, 2017 - Council Meeting	MARCH	Full Council
Review Timelines for Year		Chair person -FULL COUNCIL
DISCUSS ERAC SCHOLARSHIP PROCESS & FUNDRAISING	3/20/2017	Marjorie Gaskin
Scholarship Packets Available	3/20/2017	Chair/Liaison
SELECT REPS TO ATTEND FACAs -5-9 - 5-17-17	3/20/2017	
SELECT MEMBER TO PICK UP PROCLAMATION	3/20/2017	
CHAIRPERSON OF ANNUAL MEETING	3/20/2017	
Recognize Birthdays January - March	3/20/2017	Gena Spivey, Angela Jules,
"	"	Beverly Richardson, Betty Bradwell
	APRIL	No Council Meeting
Secure Proclamation for Community Action Month	4/24/2017	
SUBMIT PLAN TO BOARD OF DIRECTORS FOR APPROVAL	4/22/2017	BOARD MEMBER
May 15, 2017 -Council Meeting	MAY	Full Council
COMMUNITY ACTION MONTH - Month of May- CSBG	5/1/2017	Awareness of Month Activities
FUNDRAISING ACTIVITIES	5/15/2017	
SCHOLARSHIP UPDATE, ADS AND LETTER	5/15/2017	
ACTION PLAN FOR FT. PIERCE ENERGY FAIR	5/15/2017	
DISCUSS ANNUAL PICNIC	5/15/2017	
Recognize Birthdays April - July	5/15/2017	Constance Griffin, Marjorie Gaskin,
"	"	Katherine Sims, Margaret Porter, Francis Cooper

2016 EASTERN REGION ADVISORY COUNCIL
PROPOSED TASKS AND TIMELINES

	JUNE	No Council Meeting
ALPI Annual Agency Picnic	6/24/2017	
	JULY	No Council Meeting
ENERGY FAIR-	TBA	FULL COUNCIL
Admin Office QUEENTOWNSEND II Ft. Pierce	"	"
Voting Initiative Day & Organize Political forums		
August 21, 2017 - Council Meeting	AUGUST	Full Council
DEADLINE OF FINAL SELECTION OF SCHOLARSHIP APPL	8/21/2017	SCHOLARSHIP COMMITTEE
FUNDRAISING UPDATE	8/21/2017	FUNDRAISING COMMITTEE
ANNUAL MEETING PROGRAM DEVELOPMENT	8/21/2017	Program Chair, Chris Samuel & full council
ACTION PLAN FOR MARTIN COUNTY ENERGY FAIR		FULL COUNCIL
Recognize Birthdays August - December	8/21/2017	William Holt, Debra Williams, Janea Rolle, Tiffany Wilder
"	"	Bobby Byrd, Fannie Moore, Bliss Johnson
	SEPTEMBER	No Council Meeting
SELECTION OF FUNDRAISING ACTIVITIES COMPLETED	9/15/2017	FUNRAISING COMMITTEE
FINAL DEADLINE OF SCHOLARSHIP ADS ---	9/15/2017	M. Gaskin & Scholarship Committee
ANNUAL MEETING BOOKLETS	9/15/2017	"
ENERGY FAIR - MARTIN COUNTY	TBA	
October 21, 2017 -Annual Meeting	OCTOBER	Full Council
ATTEND COUNCIL MEMBERSHIP MEETING	10/21/2017	FULL COUNCIL
INSTALLATION OF 2017/2018 COUNCIL MEMBERS	10/21/2017	PROGRAM COMMITTEE

2017 SOUTHERN REGION ADVISORY COUNCIL
PROPOSED TASKS AND TIMELINES

TASKS:	MONTH	COMMITTEE/MEMBER ASSIGNED
Attend Shared Governance Orientation	FEBRUARY	CEO/Board Chair
Distribute '2017' (draft) Meeting Calendar		FULL COUNCIL
Distribute '2017' (draft) Tasks and Timelines		
	MARCH	FULL COUNCIL
<i>SRAC Meeting</i>		
Confirm '2017' Meeting Calendar		
Review '2017' Tasks & Timeslines		
Review Corporate Applications		
Discuss Seigler, Sims & Wade Scholarship		
	MAY	FULL COUNCIL
<i>SRAC Meeting</i>		
Finalize Scholarship Donation		
LIHEAP ENERGY FAIR in Sebring Date: TBA		
Select Rep to attend FACA training 5/9-12/17		
	JUNE	FULL COUNCIL
Participate in ALPI's Annual Family Day Picnic		
Location: TBA		
	AUGUST	FULL COUNCIL
<i>SRAC Meeting</i>		
2017' Annual Meeting Plans		
Program/Participants/Menu		
Identify Individual/Organization		
for the '2017' Community Service Award		



**NORTHERN REGION ADVISORY COUNCIL
PROPOSED TASKS & TIMELINES
2017**

TASK(S)	ACTION ITEM	TRAINING	SPECIAL EVENT	Committee(s)/ Person Assigned
FEBRUARY				
Attend Shared Governance Orientation		X		CEO, Bd Chair
MARCH				
NRAC Meeting <ul style="list-style-type: none"> • Finalize Council Meeting Schedule • Confirm Council Committee Assignments • Review Council Tasks & Timelines • Review draft plans for scholarships 				Full Council
MAY				
NRAC Meeting <ul style="list-style-type: none"> • Review Advisory Council Membership Recruitment Plan Activities to include Northern Region Sector of services being provided inclusive of the following counties: *Seminole County (Sanford) *Volusia County (Deland, Pierson) *Lake County (Leesburg) *Orange County (Apopka, Orlando, Winter Park, Zellwood) • Identify Advisory 2016/2017 Legislative Agenda/Plan 	X			
Select Representative to attend FACA Training Conference		X		Full Council
JUNE				
Participate in Annual Agency Family Picnic Activities			X	Full Council
AUGUST				
NRAC Meeting Finalize Annual Meeting Plans to Include: <ul style="list-style-type: none"> • Program Booklet • Program Participants • Location /Caterer • Invitation Mail-out • Review Council's Membership & Meeting Attendance • Certify Council's Corporate Membership • Select Individual/Organization for 2018 Community Service Award 	X			Full Council
OCTOBER				
Annual Corporate Membership Meeting <ul style="list-style-type: none"> • Recognition of Council Volunteer Services • Recognition of Outgoing Council Members • Installation of 2017-2018 Council Members & Officers 	X			Full Council

POLICY COUNCIL MAJOR TASKS AND TIMELINES

July	<ul style="list-style-type: none"> ▪ Participate in the Parent Orientation
August	<ul style="list-style-type: none"> ▪ Approval - New employees ▪ Participate in Parent Orientation
September	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting ▪ Parent Committees are established: <ul style="list-style-type: none"> ○ Parliamentary procedures training ○ Election of Policy Council Representative and Alternates
October	<ul style="list-style-type: none"> ▪ Policy Council Training/Orientation is conducted <ul style="list-style-type: none"> ○ New Policy Council Members are installed ○ Approval of Community Representatives ○ Policy Council Monthly Meeting
November	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting ▪ Policy Council participates in the Board of Directors Retreat to review, and discuss items to include but not limited to: <ul style="list-style-type: none"> ○ Review of Program's Long and Short Goals and Objectives ○ Internal Dispute Resolution/Community Complaint Procedures ○ Target Service Areas ○ Program Monitoring Reports ○ Program Annual Self-Assessment Report & Corrective Action Plan ○ Staff Qualification and Development Report ○ Child Outcomes Reports
December	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting. Major items for review, input, and approval/disapproval include: <ul style="list-style-type: none"> ○ Internal Dispute Resolution/Community Compliant Procedures ○ Fiscal Management/Personnel Policies and Procedures ▪ Select Policy Council Members to participate in the Annual Parent Training Conference
January	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting <ul style="list-style-type: none"> ○ Approval of Criteria for recruitment, selection, and enrollment priorities (Selection Criteria Scale) ▪ Annual Self-Assessment planning process begins ▪ Agency Corporate Annual Meeting/Luncheon
February	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting ▪ Participation in the Annual Self-Assessment ▪ Board of Directors/Policy Council Orientation
March	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting. Major items for review, input, and approval include: <ul style="list-style-type: none"> ○ Approval of Refunding Grant Application to include: program options, Management Work Plans, Operational Policies and Procedures, etc. ○ Annual Self-Assessment Report and Improvement Plan
April	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting
May	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting ▪ Select Policy Council Members to participate in the NHSA Training Conference
June	<ul style="list-style-type: none"> ▪ Policy Council Monthly Meeting ▪ Agency Picnic

CALENDAR/SPECIAL EVENTS

- Agency Holiday Schedule
- Shared Governance Meetings/Events



MEMORANDUM

Deloris C. Johnson
Chief Executive Officer

Corporate Office
300 Lynchburg Road
Lake Alfred, Florida 33850-2576
(863) 956-3491
Toll Free: 1 (800) 330-3491
Fax: (863) 956-3357
E-Mail: admin@alpi.org
www.alpi.org

**ADMINISTRATION & OPERATIONS
QUALITY CONTROL DIVISION**

ADMINISTRATION SERVICES
Budget & Finance
Human Resources
Operations and Quality Control
IT/Computer Support & Marketing

**COMMUNITY SERVICES & ECONOMIC
DEVELOPMENT DIVISION**

CSBG Services
Service Areas: Glades, Hendry,
Highlands and Polk Counties

Farmworker Emergency Services
Service Areas: Statewide

LIHEAP Services
Service Areas: Collier, Glades, Hendry,
Highlands, Martin, Polk, and
St. Lucie Counties

Housing Counseling Services
Service Area: Polk County

Training and Employment Services
Service Area: Volusia County

ALPI Technical Education Center
Service Area: Volusia County

EHEAP Services
Service Area: Polk County

**CHILD DEVELOPMENT &
FAMILY SERVICES DIVISION**

Head Start Services
Service Area: St. Lucie County

Early Head Start Services
Service Areas: Polk and St. Lucie Counties

Child Care
Service Areas: Polk (Frostproof)
and St. Lucie Counties

Child Care Food
Service Areas: Polk (Frostproof)
and St. Lucie Counties

**Computer Assisted Tutorial
Program (CAT)**
Service Area: St. Lucie County

Eastern Region Administration Office
2202 Avenue Q
Fl. Pierce, FL 34950
(772) 466-2631
Toll Free: 1 (800) 791-3099
Fax: (772) 464-3035

TO: All ALPI Employees
FROM: Christine Samuel, Human Resources Director
SUBJECT: 2017 Holiday Calendar

The following holidays will be observed in 2017:

<u>Holiday</u>	<u>Date Observed</u>
New Year's Day	Monday, January 2
Dr. Martin Luther King's Birthday	Monday, January 16
Good Friday	Friday, April 14
Memorial Day	Monday, May 29
Independence Day	Tues./Wed. July 4 & 5
Labor Day	Monday, September 4
Veteran's Day	Friday, November 10
Thanksgiving	Thurs./Fri: November 23 & 24
Christmas	Fri./Mon. December 22 & 25
Personal Holiday	Selected by Employee

To be eligible for observed holidays, an employee must be a regular full-time or regular part-time employee and employed 30 days prior to the holiday(s). To be eligible for the Personal Holiday an employee must have been employed on or before the first working day in January 2017.

cc: Deloris Johnson, CEO

PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County

The Agricultural and Labor Program, Inc.
2017 Board Meeting
Meeting Calendar
(Proposed)



JANUARY, 2017	FEBRUARY, 2017
20 Board Awards Reception 21 Close-out Board of Directors Meeting Corporate Membership Meeting Annual Corporate Meeting Annual Election of Officers <p style="text-align: center;">Rosen Centre- Orlando</p>	25 Shared Governance Orientation <p style="text-align: center;">Chain O' Lakes - Winter Haven</p>
APRIL, 2017	JUNE, 2017
21 Executive Committee Meeting 22 Board of Directors Meeting <p style="text-align: center;">Chain O'Lakes- Winter Haven</p>	23 Executive Committee Meeting 24 Board of Directors Meeting 24 Annual Agency Family Picnic - (Central) <p style="text-align: center;">TBA</p>
SEPTEMBER, 2017	NOVEMBER, 2017
22 Executive Committee Meeting 23 Board of Directors Meeting <p style="text-align: center;">Chain O' Lakes - Winter Haven</p>	17-20 Board of Directors' Management Planning Retreat <p style="text-align: center;">TBA</p>
DECEMBER, 2017 (If Applicable)	

Note: The Board may approve at its discretion, Committee Meetings to be held in conjunction with regular scheduled board meetings and/or during months when no regular board meeting is scheduled.



**PROPOSED
2017 CENTRAL REGIONAL ADVISORY COUNCIL
MEETING CALENDAR**

Central Regional Advisory Council
Corporate Office
Lake Alfred, FL
5:30 p.m.

March 8

May 10

August 9

October 7 (Annual Meeting)
Location: TBD



PROPOSED Eastern Region Advisory Council

2017 Meeting Dates

Meetings are held at:

ALPI Admin. Office
2202 Ave. Q
Fort Pierce, FL 34950
Time: 6:30 PM

Meetings are held the 3rd **Monday** of each month as follows:

March 20, 2017

May 15, 2017

August 21, 2017

Annual Meeting

October 14, 2017
11:00 AM
ALPI Admin. Office
2202 Ave. Q
Fort Pierce, FL 34950

Deloris C. Johnson
Chief Executive Officer

Corporate Office
300 Lynchburg Road
Lake Alfred, Florida 33850-2576
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Service Areas: Statewide

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Service Area: Polk County

Training and Employment Services
Service Area: Volusia County

ALPI Technical Education Center
Service Area: Volusia County

EHEAP Services
Service Area: Polk County

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Service Areas: Polk and St. Lucie Counties

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Service Areas: Polk (Frostproof)
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Program (CAT)**
Service Area: St. Lucie County

Eastern Region Administration Office
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Ft. Pierce, FL 34950
(772) 466-2631
Toll Free: 1 (800) 791-3099
Fax: (772) 464-3035



NORTHERN REGION ADVISORY COUNCIL

2017 Meeting Schedule

DATES: March 13, 2017 7 p.m.
 May 8, 2017 7 p.m.
 August 14, 2017 7 p.m.
 October Annual Meeting TBA

PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County

THE AGRICULTURAL AND LABOR PROGRAM, INC. — PROVIDING A CONSTANT FLOW OF COMMUNITY SERVICES SINCE 1968
AN EQUAL OPPORTUNITY EMPLOYER



SOUTHERN REGION ADVISORY COUNCIL PROPOSED 2017 CALENDAR 6:30 PM — 7:30 PM

Month	Activity	Location
March 21, 2017 (Tuesday)	Council Mtg.	Greater Love Church of God in Christ Lake Placid, FL
May 16, 2017 (Tuesday)	Council Mtg.	Greater Love Church of God in Christ Lake Placid, FL
August 21, 2017 (Monday)	Council Mtg.	Lakeview Park Community Center Frostproof, FL
October 16, 2017 (Monday)	Annual Mtg. (7:00 pm)	Lakeview Park Community Center Frostproof, FL

Meeting date: 3rd Monday of the month
 Meeting location: Lakeview Park Community Center
 38 Kings Blvd.
 Frostproof, FL 33843

Greater Love Church of God in Christ
 143 Vision Street
 Lake Placid, FL 33852

Dates to remember:

"2017" Annual Corporate Meeting and Luncheon
 January 21, 2017
 Rosen Centre - Orlando, FL

"2017" Shared Governance Orientation
 February 25, 2017
 Chain O' Lakes Complex - Winter Haven, FL



POLICY COUNCIL

2016-2017 MONTHLY MEETING SCHEDULE

Orientation- October 17 & 18, 2016

October 19, 2016

November 16, 2016

December 14, 2016

January 18, 2017

February 15, 2017

March 15, 2017

April 19, 2017

May 17, 2017

June 21, 2017

Location: ALPI Administrative Office
2202 Avenue Q, Fort Pierce, FL 34950

12:30 pm

ALPI HEAD START/EARLY HEAD START

OTHER INFORMATION

- Sunshine Law Q&A (Public Record Request Policy)
- Board & Administrator Newsletter
- Training & Professional Development Opportunities
- Local, State, Regional & National Memberships
- Proclamations and Official Greetings (see 2017 Annual Meeting Program Book pages 1-5)

FLORIDA SUNSHINE LAW - QUESTIONS AND ANSWERS

- **What is the Sunshine Law?**

Florida's Government-in-the-Sunshine law provides a right of access to governmental proceedings at both the state and local levels. It applies to any gathering of two or more members of the same board to discuss some matter which will foreseeably come before that board for action. There is also a constitutionally guaranteed right of access. Virtually all state and local collegial public bodies are covered by the open meetings requirements with the exception of the judiciary and the state Legislature which has its own constitutional provision relating to access.
- **What are the requirements of the Sunshine law?**

The Sunshine law requires that 1) meetings of boards or commissions must be open to the public; 2) reasonable notice of such meetings must be given, and 3) minutes of the meeting must be taken.
- **What agencies are covered under the Sunshine Law?**

The Government-in-the-Sunshine Law applies to "any board or commission of any state agency or authority or of any agency or authority of any county, municipal corporation or political subdivision." Thus, it applies to public collegial bodies within the state at both the local as well as state level. It applies equally to elected or appointed boards or commissions.
- **Are federal agencies covered by the Sunshine Law?**

Federal agencies operating in the state do not come under Florida's Sunshine law.
- **Does the Sunshine Law apply to the Legislature?**

Florida's Constitution provides that meetings of the Legislature be open and noticed except those specifically exempted by the Legislature or specifically closed by the Constitution. Each house is responsible through its rules of procedures for interpreting, implementing and enforcing these provisions. Information on the rules governing openness in the Legislature can be obtained from the respective houses.
- **Does the Sunshine Law apply to members-elect?**

Members-elect of public boards or commissions are covered by the Sunshine law immediately upon their election to public office.
- **What qualifies as a meeting?**

The Sunshine law applies to all discussions or deliberations as well as the formal action taken by a board or commission. The law, in essence, is applicable to any gathering, whether formal or casual, of two or more members of the same board or commission to discuss some matter on which foreseeable action will be taken by the public board or commission. There is no requirement that a quorum be present for a meeting to be covered under the law.

FLORIDA SUNSHINE LAW - QUESTIONS AND ANSWERS

- **Can a public agency hold closed meetings?**
There are a limited number of exemptions which would allow a public agency to close a meeting. These include, but are not limited to, certain discussions with the board's attorney over pending litigation and portions of collective bargaining sessions. In addition, specific portions of meetings of some agencies (usually state agencies) may be closed when those agencies are making probable cause determinations or considering confidential records.
- **Does the law require that a public meeting be audio taped?**
There is no requirement under the Sunshine law that tape recordings be made by a public board or commission, but if they are made, they become public records.
- **Can a city restrict a citizen's right to speak at a meeting?**
Public agencies are allowed to adopt reasonable rules and regulations which ensure the orderly conduct of a public meeting and which require orderly behavior on the part of the public attending. This includes limiting the amount of time an individual can speak and, when a large number of people attend and wish to speak, requesting that a representative of each side of the issue speak rather than every one present.
- **As a private citizen, can I videotape a public meeting?**
A public board may not prohibit a citizen from videotaping a public meeting through the use of nondisruptive video recording devices.
- **Can a board vote by secret ballot?**
The Sunshine law requires that meetings of public boards or commissions be "open to the public at all times." Thus, use of preassigned numbers, codes or secret ballots would violate the law.
- **Can two members of a public board attend social functions together?**
Members of a public board are not prohibited under the Sunshine law from meeting together socially, provided that matters which may come before the board are not discussed at such gatherings.
- **What is a public record?**
The Florida Supreme Court has determined that public records are all materials made or received by an agency in connection with official business which are used to perpetuate, communicate or formalize knowledge. They are not limited to traditional written documents. Tapes, photographs, films and sound recordings are also considered public records subject to inspection unless a statutory exemption exists.
- **Can I request public documents over the telephone and do I have to tell why I want them?**
Nothing in the public records law requires that a request for public records be in writing or in person, although individuals may wish to make their request in writing to ensure they have an accurate record of what they requested. Unless otherwise exempted, a custodian of public records must honor a request for records, whether it is made in person, over the telephone, or in writing, provided the required fees are paid. In addition, nothing in the law requires the requestor to disclose the reason for the request.
- **How much can an agency charge for public documents?**
The law provides that the custodian shall furnish a copy of public records upon payment of the fee prescribed by law. If no fee is prescribed, an agency is normally allowed to charge up to 15 cents per one-sided copy for copies that are 14" x 8 1/2" or less. A charge of up to \$1 per copy may be assessed for a certified copy of a public record. If the nature and volume of the records to be copied requires extensive use of information technology resources or extensive clerical or supervisory assistance, or both, the agency may charge a reasonable service charge based on the actual cost incurred.
- **Does an agency have to explain why it denies access to public records?**
A custodian of a public record who contends that the record or part of a record is exempt

FLORIDA SUNSHINE LAW - QUESTIONS AND ANSWERS

from inspection must state the basis for that exemption, including the statutory citation. Additionally, when asked, the custodian must state in writing the reasons for concluding the record is exempt.

- **When does a document sent to a public agency become a public document?**
As soon as a document is received by a public agency, it becomes a public record, unless there is a legislatively created exemption which makes it confidential and not subject to disclosure.
- **Are public employee personnel records considered public records?**
The rule on personnel records is the same as for other public documents ... unless the Legislature has specifically exempted an agency's personnel records or authorized the agency to adopt rules limiting public access to the records, personnel records are open to public inspection. There are, however, numerous statutory exemptions that apply to personnel records.
- **Can an agency refuse to allow public records to be inspected or copied if requested to do so by the maker or sender of the documents?**
No. To allow the maker or sender of documents to dictate the circumstances under which documents are deemed confidential would permit private parties instead of the Legislature to determine which public records are public and which are not.
- **Are arrest records public documents?**
Arrest reports prepared by a law enforcement agency after the arrest of a subject are generally considered to be open for public inspection. At the same time, however, certain information such as the identity of a sexual battery victim is exempt.
- **Is an agency required to give out information from public records or produce public records in a particular form as requested by an individual?**
The Sunshine Law provides for a right of access to inspect and copy existing public records. It does not mandate that the custodian give out information from the records nor does it mandate that an agency create new records to accommodate a request for information.
- **What agency can prosecute violators?**
The local state attorney has the statutory authority to prosecute alleged criminal violations of the open meetings and public records law. Certain civil remedies are also available.
- **What is the difference between the Sunshine Amendment and the Sunshine Law?**
The Sunshine Amendment was added to Florida's Constitution in 1976 and provides for full and public disclosure of the financial interests of all public officers, candidates and employees. The Sunshine Law provides for open meetings for governmental boards
- **How can I find out more about the open meetings and public records laws?**
Probably the most comprehensive guide to understanding the requirements and exemptions to Florida's open government laws is the Government-in-the-Sunshine manual compiled by the Attorney General's Office. The manual is updated each year and is available for purchase through the First Amendment Foundation in Tallahassee. For information on obtaining a copy, contact the **First Amendment Foundation at (850) 224-4555.**

Board & Administrator

FOR BOARD MEMBERS

February 2017 Vol. 33, No. 6

Editor: Jeff Stratton

Deliver a fair, objective evaluation to your CEO

The executive director should receive an annual evaluation from the board. Here are strategies the board can use to ensure the appraisal is delivered in a timely fashion and give the administrator an objective view of his work in the past year.

1. **Educate yourself.** Keep growing in your work as a board member. When the board makes sure it receives governance education, one topic that will be covered is the board and administrator relationship and the role a performance evaluation of the CEO holds within it.

2. **Stress timeliness.** Place the executive director's performance appraisal on your annual governance calendar or chart for board work during the year. The board chair should also lead in reminding the board when the CEO's appraisal is approaching.

3. **Use the right form.** Some performance appraisal forms are not designed to evaluate a professional executive. They focus too much on management issues, instead of the important

work a CEO does, such as implementing the board's plan for the organization and achieving the mission.

4. **Discuss strengths, weaknesses and areas for growth.** For the evaluation to have meaning to the administrator, the board and CEO should openly talk about these topics so that the exercise is genuinely focused on improvement and growth.

5. **Avoid "getting personal."** Keep coaching your executive director, but avoid focusing on personalities, appearance and petty grievances.

6. **Be clear at all times the "why" of CEO evaluation.** This is vital for both the board and the CEO, because it gives guidance to the CEO while also ensuring the organization is on the right track.

7. **Keep in mind that no one size will fit all.** Be sure to debrief as a board on what worked and what didn't when the CEO's evaluation is complete. Is the form the right one for your board? Does the process need tweaking? ■

Board question: How do I recess a meeting?

Let's say a board meeting becomes heated and there is a need to allow tempers to cool down for 15 minutes. How is this achieved?

- To request a recess of the board's meeting, you say this: "I move that we recess until..."
- You may not interrupt the speaker to make

this request.

- The motion to recess must be seconded.
- The motion to recess is not debatable, but it is amendable.
- A majority vote is needed to pass the motion to recess. ■

Statement of finance committee responsibilities

Your board should give direction to its board members, board officers and board committees. Using a tool such as a job description, the board can introduce new members, officers and committee members to expectations of the work and prepare them for success. See the example of the Finance Committee Job Description for an illustration.

Finance Committee Job Description

PURPOSE

The purpose of this committee is the overall direction of the nonprofit's finances.

COMMITTEE STRUCTURE

Term: Two years

The vice chair has direct responsibility for the finance committee. The vice chair has the option of chairing or appointing a chair to this committee. The committee members consist of three or more board members and nonboard members as appropriate. The executive director serves on this committee.

RESPONSIBILITIES

FINANCE

1. Keeps the board informed of the nonprofit's

financial status.

2. Reviews, on an annual basis, the sources of funding for the nonprofit.

3. Keeps the board informed regarding legislative issues concerning funding issues.

4. Reports to the board other financial matters deemed appropriate by the board.

5. Arranges for an annual audit by an outside accounting firm.

INVESTMENT

1. Reviews, on an annual basis, the investment portfolio.

2. Reviews the policies and procedures for the investments and suggests any changes to the board for its approval, annually.

3. Reviews the monthly investment reports from the selected investment firm.

MEETINGS

Meetings are called by the vice chair of governance. Regular meeting notices shall be distributed to the committee members in writing. Minutes shall be taken at every meeting. The committee meets as needed, at least twice a year. ■

Reputation at stake: Commit to ethical behaviors as a board

Your board and each member of it should have a commitment to ethical behavior. One reason for this is that the board's decisions have a tremendous effect on the people you serve, throughout the organization and within your community.

Public perception that your organization is governed in a loose fashion where favors are granted and favorites played will damage the nonprofit in the eye of the community.

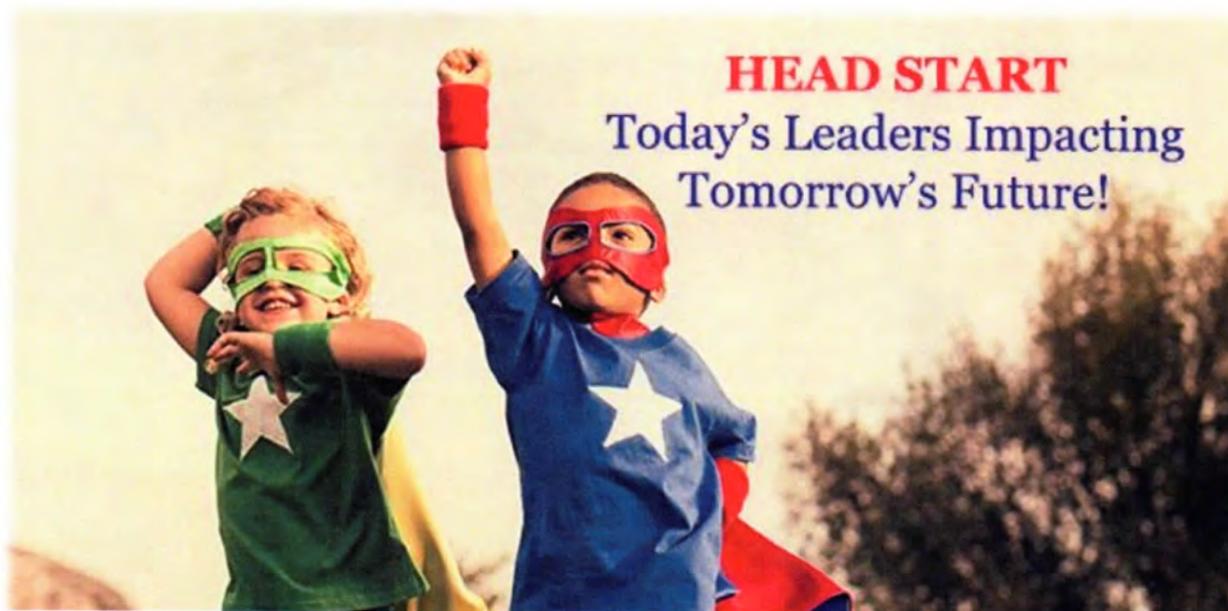
The board should have written policy on such matters as conflicts of interest, confidentiality, business practices and whistleblowing. New board members should be taught these expectations.

Two areas where ethical behavior intersects with the board's vision for the organization occur within your mission statement: (1) The board should be clear and convinced on the importance of the mission, and (2) your board's decisions should be consistent with the statement. ■

Florida Head Start Association's 2017 Annual Conference

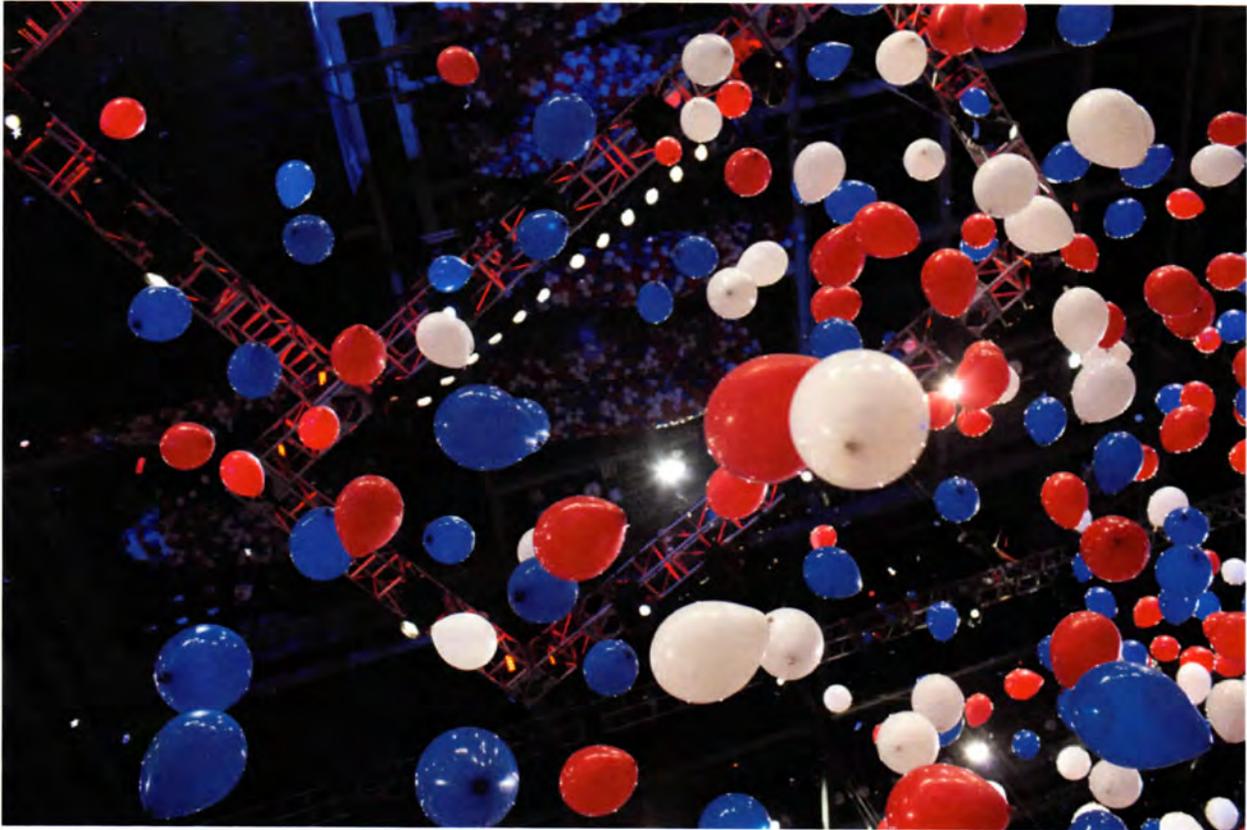
March 14 – March 17, 2017

Orlando, FL



2017 LEGISLATIVE CONFERENCE

Save the date for the 2017 NCAF Legislative Conference!
Tuesday, March 14th - Friday, March 17th, 2017 in Washington, DC.



April 7-10, 2017
44th Annual National Head
Start Conference and Expo
Chicago, Illinois



FACA

FLORIDA ASSOCIATION FOR COMMUNITY ACTION (FACA), INC.

WE ARE

Community Action:
Changing Lives
through Excellence

SAVE-THE-DATE!!!

FACA 37th Annual
Training Conference
May 9 – 12, 2017

Omni Jacksonville Hotel
245 Water Street
Jacksonville, Florida 32202





**SAVE THE DATE
JUNE 7-9, 2017**

CAPLAW National Training Conference
Denver, Colorado

COMMUNITY ACTION PARTNERSHIP

2017 ANNUAL CONVENTION

August 29 - September 1, 2017

Philadelphia Downtown Marriott

1201 Market Street, Philadelphia, PA 19107





Save The Date



SEACAA 2017 Annual Conference

*Beau Rivage Resort, Biloxi, MS
875 Beach Boulevard
Biloxi, MS 39530
888-567-6667*

October 31, 2017-November 3, 2017

LOCAL, STATE, REGIONAL & NATIONAL MEMBERSHIPS



G R E A T E R

Winter Haven
Chamber of Commerce

Florida Association for Community Action
(FACA)

Florida Head Start Association
(FHSA)

Region IV Head Start Association
(RIVHSA)

Southeastern Association for Community Action
(SEACAA)

Community Action Program Legal Services
(CAPLAW)

National Community Action Foundation
(NCAF)

National Community Action Partnership
(NCAP)

National Head Start Association
(NHSA)