



# 2018 Shared Governance Orientation *Reference Manual*



Saturday, February 24, 2018  
Chain O' Lakes Complex • 200 Cypress Gardens Blvd. • Winter Haven, FL

**Deloris C. Johnson**  
 Chief Executive Officer

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**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 O  
 Ft. Pierce, FL 34950  
 (772) 466-2631  
 Toll Free: 1 (800) 791-3099  
 Fax: (772) 464-3035



**WELCOME MESSAGE FROM THE CEO**

On behalf of the ALPI Board of Directors under the leadership of Mr. William Holt, Board Chairperson, it is with great pride that I welcome you to The Agricultural and Labor Program, Inc. 2018 Shared Governance Orientation Session.

The purpose of the Shared Governance Orientation Session is to provide newly elected and experience Board members, Head Start/EHS Policy Council Members and Regional Advisory Council Members with an overview of the agency's governance practices and regulatory requirements to ensure ongoing effective management oversight of the agency's governance practices by the Board of Directors and active participation in the decision-making process by the Head Start/EHS Policy Council and Regional Advisory Councils when applicable.

This formal Shared Governance Orientation session is the first step to ensure that board members, Head Start/EHS Policy Council Members, and Regional Advisory Council Members are active, engaged, educated, and ready to move forward collectively, in a participatory democracy, self-determination and genuine shared governance partnership manner.

I applaud your participation and "Thank You" for coming.

Sincerely,

Deloris Johnson  
 Chief Executive Officer



PROGRAMS AND SERVICES ARE FUNDED IN PART BY:

United Way of Central Florida and United Way of St. Lucie County



**SHARED GOVERNANCE ORIENTATION  
FEBRUARY 24, 2018  
AGENDA**

|                     |                                                                                                                                                                                                                                                                                                                                         |                                                   |
|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|
| 9:00 AM - 9:30 AM   | <b>WELCOME &amp; INTRODUCTIONS</b>                                                                                                                                                                                                                                                                                                      | William Holt, Chairperson<br>Deloris Johnson, CEO |
| 9:30 AM - 10:45 AM  | <b>SESSION I</b>                                                                                                                                                                                                                                                                                                                        |                                                   |
|                     | <b>SHARED GOVERNANCE ORIENTATION OVERVIEW</b><br><i>Presenter: Deloris Johnson, CEO</i><br><i>Participants: Board of Directors, Head Start/EHS Policy Council, Advisory Council, and Senior Management Staff</i>                                                                                                                        |                                                   |
| 10:45 AM - 11:30 AM | <b>SESSION II</b>                                                                                                                                                                                                                                                                                                                       |                                                   |
|                     | <b>SHARED GOVERNANCE GROUPS PLANNING SESSION</b><br>➤ Compliance Certification Statements (Code of Business & Conflict of Interest)<br><i>Facilitators: Senior Management Staff Liaisons and Board Members</i><br><i>Participants: Board of Directors, Head Start/EHS Policy Council, Advisory Council, and Senior Management Staff</i> |                                                   |
| 11:30 AM – 12:00 PM | <b>SESSION III</b>                                                                                                                                                                                                                                                                                                                      |                                                   |
|                     | <b>SHARED GOVERNANCE ORIENTATION WRAP-UP</b><br><i>Presenter: Deloris Johnson, CEO</i><br><i>Participants: Board of Directors, Head Start/EHS Policy Council, Advisory Council, and Senior Management Staff</i>                                                                                                                         |                                                   |
| 12:00 PM            | LUNCH                                                                                                                                                                                                                                                                                                                                   |                                                   |

|           |                                                         |
|-----------|---------------------------------------------------------|
| <b>1</b>  | HISTORY OF AGENCY                                       |
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- ▶ Meeting Minutes (Sample)
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- ▶ Annual Meeting Report (See 2018 Annual Corporate Meeting & Luncheon Booklet)
- ▶ Advisory, Policy Committee & Policy Council Handbook (see Agency and Shared Governance Policies and Procedures Section)

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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 9<sup>th</sup> 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.

*[Handwritten Signature]*  
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 William H. Ravenell  
(RESIDENT AGENT)

DATE May 3, 1976

AMENDMENT TO THE ARTICLES OF INCORPORATION  
OF THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED  
APPROVED AT THE JANUARY 16, 1982 ANNUAL CORPORATE MEETING  
IN LAKELAND, FLORIDA

FILED  
JUL 15 11 17 AM '82  
TALLAHASSEE, FLORIDA

Articles of Amendment to the Articles of Incorporation

ARTICLE VII DIRECTORS

Section 2. The Board of Directors shall be members of the Southern, Eastern, Central and Northern Regions, with the exception of four (4) members to be appointed at large by the official Board of Directors. Each region shall elect an equal number of Directors. This article was approved at the January 16, 1982 Annual Corporate Meeting by the Board of Directors.

Date 7/15/82

Charles Willingham  
Charles Willingham, Chairman of the  
Board of Directors  
THE AGRICULTURAL AND LABOR PROGRAM  
INCORPORATED

Date 7/15/82

Georgia Johnson  
Georgia Johnson  
Secretary  
of the Board of Directors  
THE AGRICULTURAL AND LABOR PROGRAM  
INCORPORATED

Melba L. Harrell  
Notary

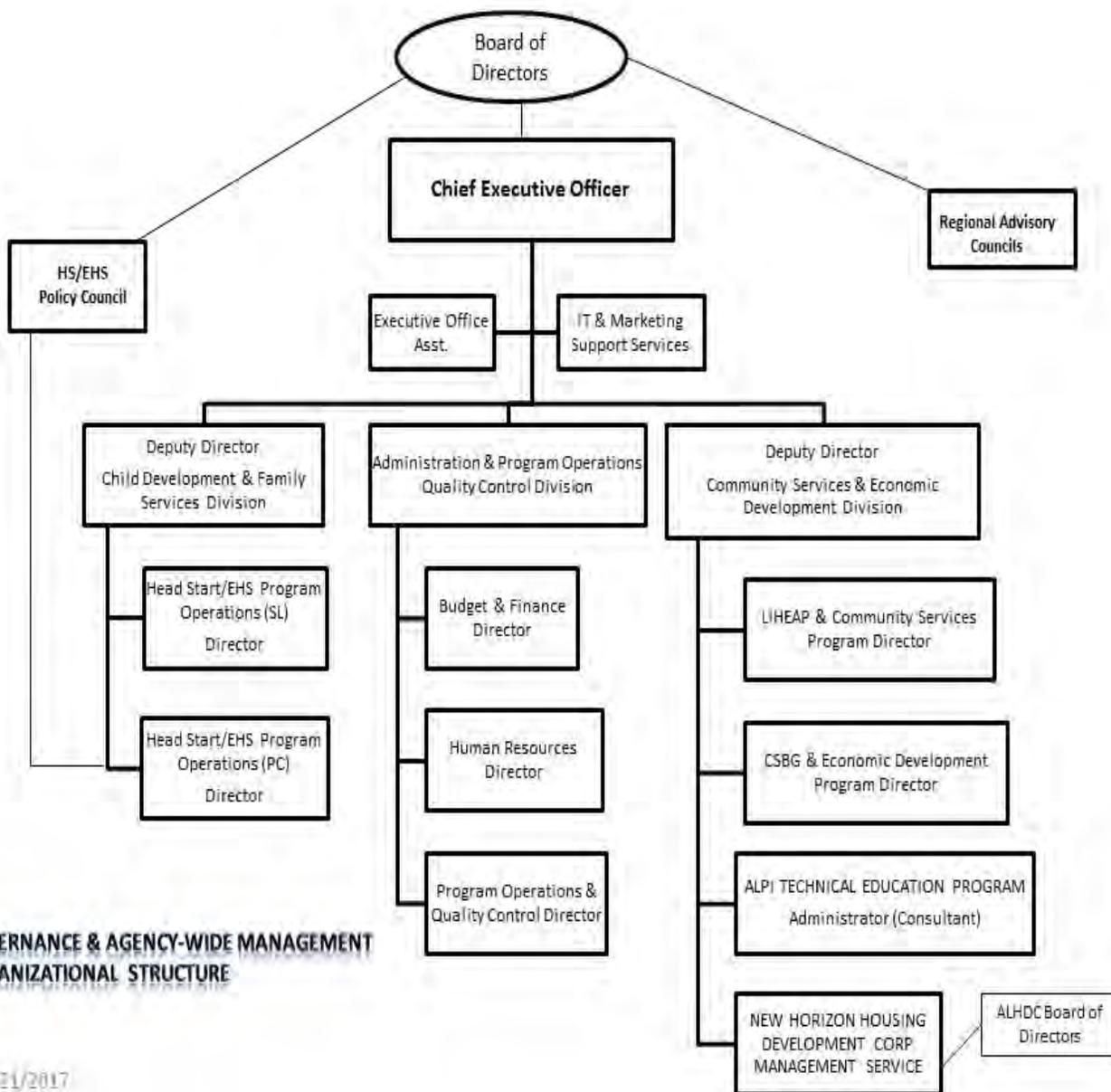


## **ORGANIZATION STRUCTURES**

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

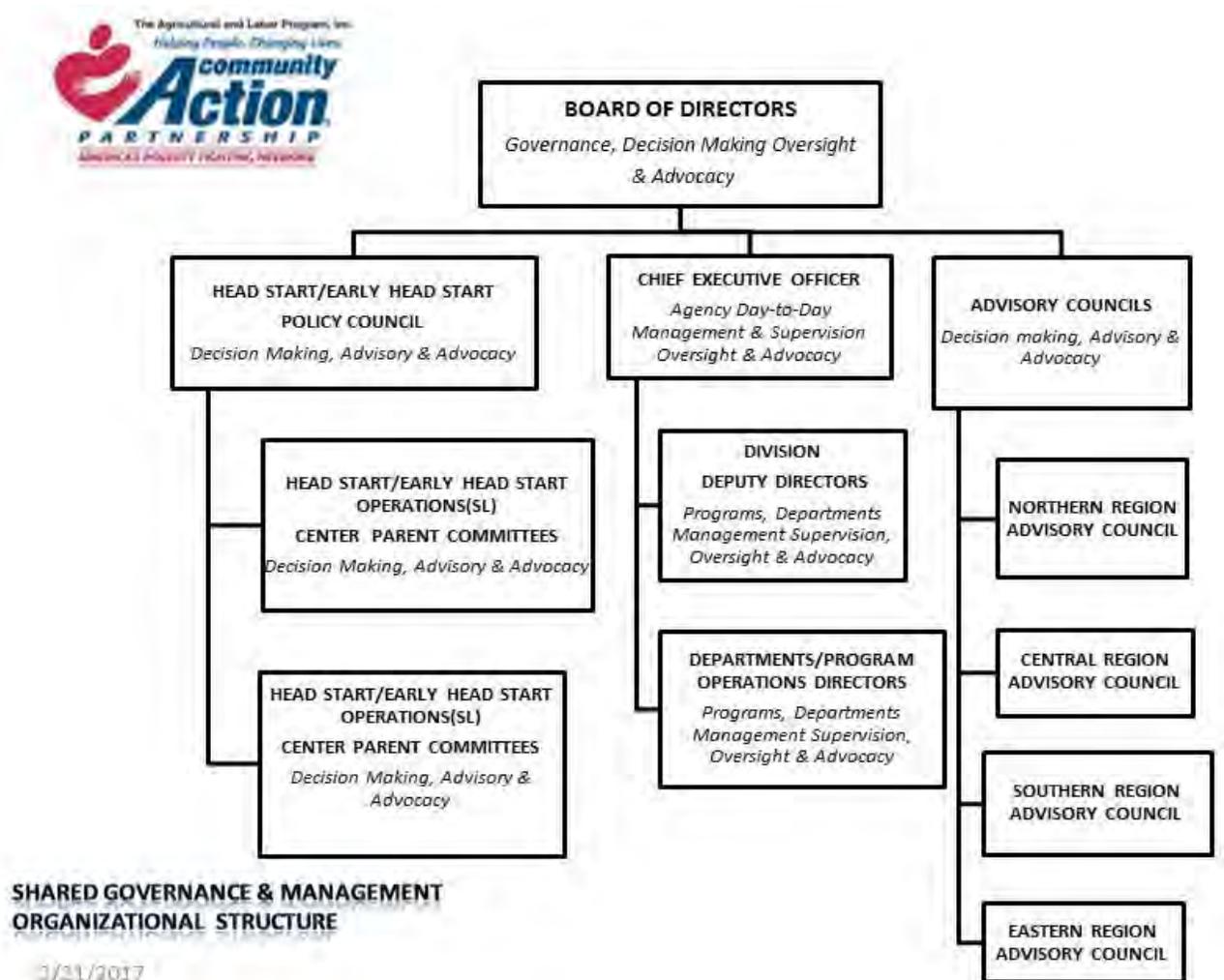


## SHARED GOVERNANCE STRUCTURE AT-A-GLANCE

### BOARD OF DIRECTORS

The Agricultural and Labor Program, Inc. (ALPI) is a non-profit Organization that is governed by a 21 member (voting) 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 Bylaws, 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 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.**  
**2018**  
**BOARD OF DIRECTORS**  
**MEMBERSHIP ROSTER**

## Sector: Public

| <b>Name/Current Position on Board<br/>Representation<br/>Designation/County<br/>Employer/Position</b>                                                            | <b>Mailing Address (no P.O. Boxes)<br/>E-Mail Address</b>                      | <b>Telephone #-s<br/>Home:<br/>Office:<br/>Cell:</b> | <b>Date when<br/>originally<br/>seated on<br/>board</b> | <b>Date when<br/>seated for<br/>current term</b> | <b>Total # of<br/>years<br/>served on<br/>board</b> | <b>Expiration<br/>Date of<br/>current term</b> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------|--------------------------------------------------|-----------------------------------------------------|------------------------------------------------|
| Josephine Howard, Secretary<br>Commissioner Roy Tyler - City of Haines City<br>Citizen Designee (Polk County)<br>Polk County School Board/Retired Principal      | 2711 Orchid Drive<br>Haines City, FL 33844<br>Jolizhow13@yahoo.com             | H: (863) 422-0875<br>O: N/A<br>C: (863) 221-2644     | January 1988                                            | January 2017                                     | 29                                                  | January 2019                                   |
| Sheila Dixon, Member<br>Commissioner Velma Williams – City of Sanford<br>Citizen Designee (Seminole County)<br>Adult Education Coordinator/Retired               | 3651 Ronda Drive<br>Deltona, FL 32738<br>dixons@seminolestate.edu              | H: N/A<br>O: N/A<br>C: (407) 314-1067                | November 2017                                           | January 2018                                     | <1                                                  | January 2020                                   |
| Kim Johnson, Member<br>Mayor Linda Hudson - City of Ft. Pierce<br>Citizen Designee (St. Lucie County)<br>Self Employed/Motivational Speaker                      | 4888 Kings Hwy<br>Fort Pierce, FL 34951<br>Kimjohnson.slc@gmail.com            | H:<br>O:<br>C: (321) 662-6536                        | February 2016                                           | January 2017                                     | 2                                                   | January 2019                                   |
| Marjorie Gaskin, Treasurer<br>Commissioner Rufus Alexander - City of Ft. Pierce<br>Citizen Designee (St. Lucie County)<br>City of Ft. Pierce/Retired IT Director | 1511 N. 21 <sup>st</sup> Street<br>Ft. Pierce, FL 34950<br>mbgaskin2@gmail.com | H: (772) 464-0243<br>C: (772) 475-3194               | January 1982                                            | January 2018                                     | 36                                                  | January 2020                                   |
| VACANT                                                                                                                                                           |                                                                                |                                                      |                                                         |                                                  |                                                     | January 2020                                   |
| Kimberly Ross, Member<br>Commissioner Emma Byrd –Hendry BoCC<br>Citizen Designee (Hendry County)<br>Hanley Center Foundation/Social Worker                       | P.O. Box 1214<br>Clewiston, FL 33440<br>rosssixnine@netzero.com                | H:<br>O:<br>C: (863)233-6500                         | June 2015                                               | January 2017                                     | 2                                                   | January 2019                                   |
| Samuel Thomas, Member<br>Glades County BoCC<br>Citizen Designee (Glades County)<br>Glades County School Board/Educator                                           | P.O. Box 518<br>Moore Haven, FL 33471<br>anthonythomas2k2@gmail.com            | H: (239)738-0827<br>O:<br>C: (239) 738-1017          | January 2017                                            | January 2017                                     | <1                                                  | January 2019                                   |

## Sector: Private

| <b>Name/Current Position on Board<br/>Representation<br/>Designation (County)<br/>Employer/Position</b>                                                  | <b>Mailing Address (no P.O. Boxes)<br/>E-Mail Address</b>                                        | <b>Telephone #s<br/>Home:<br/>Office:<br/>Cell:</b>         | <b>Date when<br/>originally<br/>seated on<br/>board</b> | <b>Date when<br/>seated for<br/>current term</b> | <b>Total # of<br/>years<br/>served on<br/>board</b> | <b>Expiration<br/>Date of<br/>current term</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------|---------------------------------------------------------|--------------------------------------------------|-----------------------------------------------------|------------------------------------------------|
| Patricia Gamble, Member<br>CGWT Outreach Resource Center<br>Organization Designee (Polk County)<br>Department of Revenue/Tax Specialist I                | 1020 Anderson Avenue<br>Lakeland, FL 33805<br>gambpt@aol.com                                     | H: (863)603-8852<br>O: (863) 284-4245<br>C: (863) 838-5111  | January 2001                                            | January 2017                                     | 16                                                  | January 2019                                   |
| Vernon McQueen, Member<br>Duke Energy Florida<br>Company Designee (Seminole County)<br>Duke Energy/Program Manager                                       | 804 E. 14 <sup>th</sup> Street<br>Sanford, FL 32771<br>vmcqueen@hotmail.com                      | H: (407) 321-6950<br>O: (407) 942-9661<br>C: (321) 262-6564 | January 1999                                            | January 2017                                     | 18                                                  | January 2019                                   |
| Katie Clarke, Member<br>Lakeview Park Homeowner Association<br>Organization Designee (Polk County)<br>Sprint Telecommunications/Retired Customer Service | 37 Banneker Lane<br>Frostproof, FL 33843<br>N/A                                                  | H: (863) 635-4928<br>O: N/A<br>C: (863) 605-1330            | January 2004                                            | January 2018                                     | 13                                                  | January 2020                                   |
| Glenda Jones, Member<br>Winter Haven Neighborhood Service Center<br>Organization Designee (Polk County)<br>Winter Haven Hospital/Executive Director      | 608 Avenue S, NE<br>Winter Haven, FL 33881<br>nsc1glenda@netscape.net                            | H: (863) 294-5860<br>O: (863) 294-5860<br>C: N/A            | January 2012                                            | January 2018                                     | 5                                                   | January 2020                                   |
| Stacy Campbell-Domineck, Member<br>CareerSource Polk<br>Company Designee (Polk County)<br>CareerSource Polk/Chief Executive Officer                      | 600 N. Broadway, Suite B<br>Bartow, FL 33830<br>stacy.campbell-<br>domineck@careersourcepolk.com | H: (863) 899-6597<br>O: (863) 508-1600<br>C:                | February 2016                                           | January 2017                                     | 1                                                   | January 2019                                   |
| David Walker, Vice-Chairperson<br>Law Office of David Walker, PA<br>Company Designee (Martin County)<br>Law Office of David Walker, PA/Attorney          | 10 SE Central Parkway, Ste 225<br>Stuart, FL 34994<br>davidwalkerlaw@aol.com                     | H: (772) 286-1469<br>O: (772) 286-8686<br>C: (772) 708-6632 | January 2001                                            | January 2017                                     | 16                                                  | January 2019                                   |
| Chester McNorton, Member<br>ATEC Advisory Council<br>Advisory Council Designee (Volusia County)<br>Training Initiative, Inc./Workshop Presenter          | 644 Magnolia Avenue<br>Daytona Beach, FL 32114<br>chestermcnorton@yahoo.com                      | H: N/A<br>O: (386) 740-3242<br>C: (386) 341-7586            | January 2007                                            | January 2017                                     | 10                                                  | January 2019                                   |

## Sector: Low Income

| Name/Current Position on Board<br>Representation<br>Designation/County<br>Employer/Position                                                                      | Mailing Address (no P.O. Boxes)<br>E-Mail Address                                                                                                | Telephone #s<br>Home:<br>Office:<br>Cell:        | Date when<br>originally<br>seated on<br>board | Date when<br>seated for<br>current term | Total # of<br>years<br>served<br>on board | Expiration<br>Date of<br>current term |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|-----------------------------------------------|-----------------------------------------|-------------------------------------------|---------------------------------------|
| William Holt – Board Chairperson<br>Eastern Region Advisory Council<br>Advisory Council Designee (Indian River Co.)<br>Helseth Financial/Retired Mortgage Banker | 4129 57 <sup>th</sup> Avenue<br>Vero Beach, FL 32967<br>1946holt@gmail.com                                                                       | H: (772) 562-8377<br>O: N/A<br>C: (772) 538-4280 | January 1990                                  | January 2017                            | 27                                        | January 2019                          |
| Barbara Grace, Member<br>Southern Region Advisory Council<br>Advisory Council Designee (Polk County)                                                             | 905 Entrance Rd.<br>Avon Park, FL 33825<br>E-Mail: <a href="mailto:akagrace@bellsouth.net">akagrace@bellsouth.net</a>                            | H: (863) 452-4627<br>O: N/A<br>C: (305) 562-4425 | January 2018                                  | January 2018                            | 3                                         | January 2020                          |
| Annette Jones<br>Southern Region Advisory Council<br>Advisory Council Designee (Polk County)<br>DEO/Employment Security Representative                           | 2940 N. Buckingham Road<br>Avon Park, FL 33825<br>annettejon@gmail.com                                                                           | H: N/A<br>O: (863) 773-3435<br>C: (863) 443-0269 | September 2017                                | January 2018                            | <1                                        | January 2020                          |
| Marva Hawkins, Member<br>Northern Region Advisory Council<br>Advisory Council Designee (Seminole County)<br>Sanford Herald/Retired Columnist                     | 1004 Historic Goldsboro Blvd<br>Sanford, FL 32771<br>c/o: <a href="mailto:brinso_s@bellsouth.net">brinso_s@bellsouth.net</a><br>Sheralyn Brinson | H: (407) 322-5418<br>O: N/A<br>C: (407) 416-4234 | January 1984                                  | January 2017                            | 33                                        | January 2019                          |
| Shannyn Serrano, Member<br>Head Start/Early Head Start Policy Council<br>HS/EHS Policy Council Designee (St. Lucie County)                                       | 1498 SW Broadview Street<br>Port St. Lucie, FL 34983<br>shannynserrano@yahoo.com                                                                 | H: N/A<br>O:<br>C: (954) 667-5935                | November 2017                                 | January 2018                            | <1                                        | October 2018                          |
| Ruby Willix, Member<br>Central Region Advisory Council<br>Advisory Council Designee (Polk County)<br>State of Florida/Retired Clerical Supervisor                | 2876 Dudley Drive<br>Bartow, FL 33830<br>rubywillix@comcast.net                                                                                  | H: (863) 537-6677<br>O: N/A<br>C: (863) 207-1822 | January 2008                                  | January 2018                            | 9                                         | January 2020                          |
| LaVita Holmes, Member<br>Southern Region Advisory Council<br>Advisory Council Designee (Hendry County)<br>Kwik Release Bail Bonds/Bail Bonds Agent               | 901 Florida Avenue<br>Clewiston, FL 33440<br>kwikrelease863@gmail.com                                                                            | H: (863) 288-2076<br>O: (863) 983-9900<br>C: N/A | June 2015                                     | January 2017                            | 2                                         | January 2019                          |

Date of Last Revision: February 2018

**Agricultural and Labor Program, Inc.  
2017-2018 Head Start/Early Head Start Policy Council Roster**

**REPRESENTATIVES**

|                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                              |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Jackie Castaneda</b><br/>850 S.W. Goodrich Street<br/>Port St. Lucie, FL 34983<br/>(754)217-0210<br/><a href="mailto:Castaneda.Jackie@ymail.com">Castaneda.Jackie@ymail.com</a><br/><b>Child Development &amp; Family Services</b></p>                   | <p><b>Catelin Ann Bock</b><br/>3318 Orange Avenue #67<br/>Fort Pierce, FL 34947<br/>(772)634-4461<br/>(772)940-8719<br/><b>Francina Duval Head Start</b></p>                                                                                                                                                         | <p><b>Keonia Shaquina Coats</b><br/>1508 Avenue K<br/>Fort Pierce, FL 34950<br/>(772)444-5605<br/><b>Garden Terrace Head Start</b></p>                                                                                                                  | <p><b>Shaquita Wilcox</b><br/>1606 Avenue K Apt. B<br/>Fort Pierce, FL 34950<br/>(772)475-2060<br/><a href="mailto:Sswilcox09@gmail.com">Sswilcox09@gmail.com</a><br/><b>George W. Truitt Family Services</b></p>                                            |
| <p><b>Shannyn Serrano</b><br/>1498 S.W. Broadview Street<br/>Port St. Lucie, FL 34983<br/>(954)667-5935<br/><a href="mailto:Shannynserrano@yahoo.com">Shannynserrano@yahoo.com</a><br/><b>Child Development &amp; Family Services</b></p>                      | <p><b>Karoline Soto</b><br/>153 West Glen Road<br/>Fort Pierce, FL 34981<br/>(786)470-5946<br/><b>Loving Care Child Development</b></p>                                                                                                                                                                              | <p><b>Jasmine Pritchett</b><br/>2801 Avenue L Apt. 36<br/>Fort Pierce, FL 34947<br/>(772)940-7411<br/><b>Garden Terrace Head Start</b></p>                                                                                                              | <p><b>Raquel Bizzell</b><br/>1440 N. Lawnwood Circle #20C<br/>Fort Pierce, FL 34950<br/>(561)945-2425<br/><a href="mailto:Rocndoc24@bellsouth.net">Rocndoc24@bellsouth.net</a><br/><b>George W. Truitt Family Services</b></p>                               |
| <p><b>Zynia Swoope</b><br/>2085 Avenue L #16<br/>Fort Pierce, FL 34947<br/>(772)828-5025<br/><b>Lincoln Park Head Start</b></p>                                                                                                                                | <p><b>Lonnie Melvin</b><br/>3306 Avenue N<br/>Fort Pierce, FL 34949<br/>(772)882-1836<br/><b>Queen Townsend HS Center II</b></p>                                                                                                                                                                                     | <p><b>Kerrian Jacobs</b><br/>4906 Barcelona Avenue<br/>Fort Pierce, FL 34946<br/>(954)415-8753<br/><b>Learning Tree Academy</b></p>                                                                                                                     | <p><b>Richauna Williams</b><br/>401 Winston Avenue Apt. J2<br/>Lake Wales, FL 33853<br/>(407)666-8067<br/><a href="mailto:Raebarnes15@gmail.com">Raebarnes15@gmail.com</a><br/><b>Frostproof Child Development</b></p>                                       |
| <p><b>Tammy Rovito</b><br/>2804 Navajo Avenue<br/>Fort Pierce, FL 34946<br/>(772)240-6352<br/><a href="mailto:Roclam2012@att.net">Roclam2012@att.net</a><br/><b>Lincoln Park Head Start</b></p>                                                                | <p><b>Jacques Thompson</b><br/>1207 N. 24<sup>th</sup> Street<br/>Fort Pierce, FL 34950<br/>(772)940-2280<br/><b>Queen Townsend HS Center II</b></p>                                                                                                                                                                 | <p><b>Donna Gibson</b><br/>Parent Academy of St. Lucie County<br/>1702 N. 15th Street<br/>Fort Pierce, FL 34950<br/>(772) 466-0523<br/><a href="mailto:Donnagibson01@comcast.net">Donnagibson01@comcast.net</a><br/><b>Community Representative</b></p> | <p><b>Tom Peer</b><br/>DCF District 1 Licensing Supervisor<br/>337 N. US Hwy 1, Benton Bldg.<br/>Fort Pierce, FL 34950<br/>(772) 467-4184<br/><a href="mailto:tom_peer@dcf.state.fl.us">tom_peer@dcf.state.fl.us</a><br/><b>Community Representative</b></p> |
| <p><b>Josephine Howard</b><br/>2711 Orchid Drive<br/>Haines City, FL 33844<br/>(863) 422-0875<br/>(863) 221-2644<br/>Board Representative to the PC<br/><a href="mailto:Jolizhow13@yahoo.com">Jolizhow13@yahoo.com</a><br/><b>Community Representative</b></p> | <p><b>Dr. Patricia Smith, Ed.D, RDN, LDN</b><br/>Clinical Coordinator &amp; Faculty<br/>Port St. Lucie Campus<br/>9400 S.W. Discovery Way<br/>Port St. Lucie, FL 34987<br/>(772) 398-9990<br/><a href="mailto:pasmith@keiseruniversity.edu">pasmith@keiseruniversity.edu</a><br/><b>Community Representative</b></p> | <p><b>Felicia Sweeting-Harris</b><br/>1014 S. 27<sup>th</sup> Circle<br/>Fort Pierce, FL 34947<br/>(772)971-1170<br/><b>Community Representative</b></p>                                                                                                |                                                                                                                                                                                                                                                              |

**ALTERNATES**

|                                                                                                                                                                    |                                                                                                                                                      |                                                                                                                                                                              |                                                                                                                                                           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Johanna Collazos</b><br/>2068 S.W. Cranberry Street<br/>Port St. Lucie, FL 34953<br/>(772)626-2270<br/><b>Child Development &amp; Family Services</b></p>    | <p><b>George Prince</b><br/>1655 N. 29<sup>th</sup> Street #301<br/>Fort Pierce, FL 34947<br/>(772)971-8761<br/><b>Francina Duval Head Start</b></p> | <p><b>Brittany Nickerson</b><br/>1001 North 32<sup>nd</sup> Street Apt. B<br/>Fort Pierce, FL 34950<br/>(772)626-1125/(772)360-1065<br/><b>Garden Terrace Head Start</b></p> | <p><b>Tychus Doe</b><br/>2606 N. 53<sup>rd</sup> Street<br/>Fort Pierce, FL 34950<br/>(772)559-8505<br/><b>George W. Truitt Family Services</b></p>       |
| <p><b>Josefina Cordova Perez</b><br/>607 S.W. Branford Drive<br/>Port St. Lucie, FL 34983<br/>(772)828-8126<br/><b>Child Development &amp; Family Services</b></p> | <p><b>Loving Care Child Development</b></p>                                                                                                          | <p><b>Jennifer Ford</b><br/>1208 Avenue L<br/>Fort Pierce, FL 34950<br/>(772)302-1173/(239)285-2849<br/><b>Garden Terrace Head Start</b></p>                                 | <p><b>Elizabeth Granados</b><br/>124 Wisteria Avenue<br/>Fort Pierce, FL 34982<br/>(772)204-4175<br/><b>George W. Truitt Family Services</b></p>          |
| <p><b>Sierra Baker</b><br/>806 N. 23<sup>rd</sup> Street<br/>Fort Pierce, FL 34950<br/>(772)828-6900<br/><b>Lincoln Park Head Start</b></p>                        | <p><b>Genetha Harris</b><br/>1708 N. 12<sup>th</sup> Street<br/>Fort Pierce, FL 34950<br/>(772)940-3599<br/><b>Queen Townsend HS Center II</b></p>   | <p><b>Melissa Boatwright</b><br/>1655 N. 29<sup>th</sup> Street Apt. 401<br/>Fort Pierce, FL 34950<br/>(772)828-8938<br/><b>Learning Tree Academy</b></p>                    | <p><b>Tanakia Malcolm-Word</b><br/>32 Attucks Circle<br/>Frostproof, FL 33843<br/>(863)452-3815/(863)298-2380<br/><b>Frostproof Child Development</b></p> |
| <p><b>Clemeshia Thomas</b><br/>513 N. 12<sup>th</sup> Street Apt. B<br/>Fort Pierce, FL 34950<br/>(407)613-0523<br/><b>Lincoln Park Head Start</b></p>             | <p><b>Shandria William</b><br/>302 Rockland Drive<br/>Fort Pierce, FL 34947<br/>(772)200-9052<br/><b>Queen Townsend HS Center II</b></p>             | <p><b>Arnicia Isaac</b><br/>1205 N. 27<sup>th</sup> Street Apt. 53<br/>Fort Pierce, FL 34950<br/>(772)940-8922<br/><b>Learning Tree Academy</b></p>                          |                                                                                                                                                           |



**CENTRAL REGION ADVISORY COUNCIL  
MEMBERSHIP ROSTER  
2017-2018**

**Glenda Jones, Chairperson**  
PO Box 3311  
Winter Haven, FL 33881  
Hm: 863/294-5860  
Wk: 863/294-5860  
nsc1glenda@netscape.net  
**Term: 2015-2018**

**Dorothy Spencer, Vice Chairperson**  
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Hm: 863/688-1906  
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**Term: 2015-2018**

**Josephine Howard, Secretary**  
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Hm: 863/422-0875  
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jolizhow13@yahoo.com  
**Term: 2016-2019**

**Patricia Gamble, Treasurer**  
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gambpt@aol.com  
**Term: 2016-2019**

**Hollis Jackson, Parliamentarian**  
2414 Mary Jewett Circle N.E.  
Winter Haven, FL 33881  
Hm: 863/294-7514  
**Term: 2015-2018**

**Jennie Calhoun**  
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**Term: 2016-2019**

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**Term: 2016-2019**

**Earnestine Davis**  
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Winter Haven, FL 33881  
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**Term: 2016-2019**

**Clora Dubose**  
315 Avenue P, N.E.  
Winter Haven, FL 33881  
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**Term: 2017-2020**

**VACANT**  
**Term: 2017-2020**

**Annie Larkins**  
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**Term: 2017- 2020**

**Johnnie McNair**  
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**Term: 2017 - 2020**

**Doris Parker**  
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**Term: 2015-2018**

**Jacqueline Rentz**  
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**Term: 2015-2018**

**Marian Owens**  
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**Term: 2015-2018**

**Elizabeth Scaife**  
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Winter Haven, FL 33881  
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**Term: 2017 - 2020**

**Margaree B. Simon**  
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**Term: 2015-2018**

**Ruby Willix\*\***  
2876 Dudley Drive  
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rubywillix@comcast.net  
**Term: 2015-2018**

**Patricia Salary**  
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**Term: 2014-2017**

**Mary Shepherd**  
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maryshepherd1948 @gmail.com  
**Term: 2017-2020**

**Dartha Shular**  
125 Fleming Lane  
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**Term: 2016-2019**

**Vermell Brown**  
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**Term: 2016-2019**

**Sandra Henry**  
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Cell: 863/  
**Term: 2016-2019**

**Linda Bailey**  
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Cell: 863/805-8459  
bmunchnstuff@aol.com  
**Term: 2017-2020**

**\*\* 2018-2020 Board Rep.  
Eff. 10/2017**



EASTERN REGION ADVISORY COUNCIL  
MEMBERSHIP ROSTER  
2017-2018  
Revised 2/15/18

**\*\*William Holt**, Chairperson  
4129 57<sup>th</sup> Avenue  
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[1946holt@gmail.com](mailto:1946holt@gmail.com)  
Term: 2016-2019

**Constance Griffin**, Vice Chairperson  
3500 Avenue S  
Fort Pierce, FL 34947  
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[cvgriffin62@gmail.com](mailto:cvgriffin62@gmail.com)  
Term: 2017-2020

**Gena Spivey**, Treasurer  
2310 SE Shelter Drive  
Port St. Lucie, FL 34952  
Home: 772-398-0656  
Cell: 772-360-8840  
[genaspivey@att.net](mailto:genaspivey@att.net)  
Term: 2015-2018

**Marjorie Gaskin**, Secretary  
1511 N 21<sup>st</sup> Street  
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Home: 772-464-0243  
Cell: 772-475-3194, 772-940-9365  
[mbgaskin2@gmail.com](mailto:mbgaskin2@gmail.com)  
Term: 2015-2018

**Frances Cooper**  
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Cell: 772-353-8554  
[clarkecf960@yahoo.com](mailto:clarkecf960@yahoo.com)  
Term 2016-2019

**Debra Williams**  
513 N 15<sup>th</sup> St  
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Cell: 772-519-8017  
[dmwjbw58@gmail.com](mailto:dmwjbw58@gmail.com)  
Term 2016-2019

**Katherine Sims**  
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Term 2015-2018

**Angela Jules**  
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Term 2015-2018

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Term: 2015-2018

**Bobby Byrd**, Parliamentarian  
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Term 2017-2020

Term 2016-2019

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Term 2016-2019

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Term: 2016-2019

**Betty Bradwell**  
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Term: 2015-2018

**Mercadez Estime-Connolly**  
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Term: 2017-2020

**Dr. Donna Mills**  
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Term: 2016-2019

**Vacant**  
Term: 2017-2020

**Vacant**  
Term: 2017-2020

**Vacant**  
Term 2017-2020

\*\*Board of Directors Term 2017-2019



## NORTHERN REGION ADVISORY COUNCIL 2017-2018 MEMBERSHIP ROSTER

### DONALD TILLMAN, CHAIRPERSON

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Term: 2015-2018

NEREIDA JACKSON, Parliamentarian  
Center of Business Excellence  
846 Saxon Road  
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Term: 2015-2018

### CONSTANCE ANDERSON, SECRETARY/CO-CHAIR SPECIAL EVENTS COMMITTEE

2480 Crawford Drive  
Sanford, FL 32771  
Home: (407)323-5475  
Cell: (407) 314-9324  
[Constanceanderson1951@gmail.com](mailto:Constanceanderson1951@gmail.com)  
Term: 2015-2018

### EVELYN SEABROOK CO-CHAIR SPECIAL EVENTS COMMITTEE

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Eustis, FL 32726  
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Term: 2014-2017

### MARVA HAWKINS, TREASURER\*\*

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Sanford, FL 32772  
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Term: 2015-2018

CHARLES HARRIS, JR.  
6607 Old Hwy 441 South  
Mt. Dora, FL 32757  
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Cell: (352) 223-7683  
Term: 2016-2019

### SHELIA DIXON, Asst. SECRETARY

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[dixons@seminolestate.edu](mailto:dixons@seminolestate.edu)  
Term: 2014-2017

### CHESTER McNORTON, VICE CHAIR PERSON

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Term: 2015-2018

### DAVID RUCKER

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Term: 2015-2018

Vacant

Vacant

Vacant

\*\*ALPI Board Representative



The Agricultural and Labor Program, Inc.  
2018 Southern Region Advisory Membership Roster

**\*\*Barbara Grace, Chairperson**

905 Entrance Road  
Avon Park, FL 33825  
(863) 452-4627 Home  
(305) 562-4425 Cell  
E-Mail: [akagracebellsouth.net](mailto:akagracebellsouth.net)

**Term: 2016-2019**

**Kimberly R. Ross, Vice-Chair**

P. O. Box 1214  
Clewiston, FL 33440  
(863) 233-6500  
E-Mail: [rosssixnine@netzero.net](mailto:rosssixnine@netzero.net)

**Term: 2015-2018**

**Annie Robinson, Secretary**

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(863) 285-8210 Cell  
(863) 232-8899 Work  
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[arobinson@ecmhsp.org](mailto:arobinson@ecmhsp.org)

**Term: 2015-2018**

**Noemi Cruz, Treasurer**

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**Term: 2017-2020**

**John Ash**

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(863) 712-3099 Cell  
(863) 285-8569 Home

**Term: 2015-2018**

**Katie Clarke**

37 Banneker Lane  
Frostproof, FL 33843  
(863) 635-4928 Home  
(863) 605-1330 Cell

**Term: 2017-2020**

**Minister Kelly Paul Galati**

P. O. Box 121  
Frostproof, FL 33843  
(863) 605-0403 Home  
(863) 635-4500 Work

**Term: 2015-2018**

**Ruth A. Gay**

P. O. Box 691  
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**Term: 2015-2018**

**Barbara Grace**

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**Term: 2016-2019**

**Rosa Hampton**

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**Term: 2016-2019**

**La Vita A. Holmes**

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**Term: 2016-2019**

**Annette Jones**

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**Term: 2017-2020**

**N'Kosi Jones**

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**Term: 2017-2020**  
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**Bernice Lopez**

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**Term: 2015-2018**

**Emma Malcolm**

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**Term: 2016-2019**

**Tracy Maloy**

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**Term: 2017-2020**

**Beverly Sloan**

453 Hopson Rd.  
Frostproof, FL 33843  
(863) 546-6114 Home  
**Term: 2016-2019**

**Terry Wellington**

247 Hopson Road.  
Frostproof, FL 33843  
(863) 257-1950 Cell  
**Term: 2016-2019**

**VACANT**

**Term: 2015 – 2018**

**Term: 2015 – 2018**

**VACANT**

**Term: 2016 – 2019**

**Term: 2016 – 2019**

**VACANT**

**Term: 2017 – 2020**

**Term: 2017 – 2020**

**Term: 2017 – 2020**

**\*\* 2018-2020 Board Representative**

## 2017-2018 MANAGEMENT DIRECTORY

### THE AGRICULTURAL AND LABOR PROGRAM, INC.

#### CORPORATE OFFICE

300 Lynchburg Road  
Lake Alfred, Florida 33850  
(863) 956-3491  
(863) 956-3357 Fax

#### EXECUTIVE ADMINISTRATION

Deloris Johnson, Chief Executive Officer  
Extension 206 - [djohnson@alpi.org](mailto:djohnson@alpi.org)

### ADMINISTRATION & OPERATIONS QUALITY CONTROL DEPARTMENTS

#### Budget and Finance

Dennis Gniewek, Interim Director  
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[dgniewek@alpi.org](mailto:dgniewek@alpi.org)

#### Human Resources

Christine Samuel, Director  
(863) 956-3491 Ext. 202  
[csamuel@alpi.org](mailto:csamuel@alpi.org)

#### Operations & Quality Control

Twila Smith, Director  
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[tsteward@alpi.org](mailto:tsteward@alpi.org)

### CHILD DEVELOPMENT AND FAMILY SERVICES DIVISION

#### VACANT, Deputy Director

300 Lynchburg Road  
Lake Alfred, FL 33850  
863/956-3491 Ext. 215

#### Program Operations - St. Lucie County

Myrna Rodriguez, Director  
Head Start/Early Head Start  
2202 Avenue Q  
Ft. Pierce, FL 34950  
(772) 466-2631 Ext. 11; Fax (772) 464-3035  
[mrodriguez@alpi.org](mailto:mrodriguez@alpi.org)

#### Program Operations - Polk County

Aletta Stroder, Director  
Head Start/Early Head Start  
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Frostproof, FL 33843  
(863) 635-3396 Ext. 25; Fax (863) 635-1176  
[astroder@alpi.org](mailto:astroder@alpi.org)

### COMMUNITY & ECONOMIC DEVELOPMENT SERVICES DIVISION

#### Al Miller, Deputy Director

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Lake Alfred, FL 33850  
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[amiller@alpi.org](mailto:amiller@alpi.org)

#### LIHEAP/Community Services

Cheryl Burnham, Director  
(863) 956-3491 Ext. 224  
[cburnham@alpi.org](mailto:cburnham@alpi.org)

#### CSBG/Economic Services

Pa-Houa Lee-Yang, Director  
863/956-3491 Ext. 218  
[pyang@alpi.org](mailto:pyang@alpi.org)

## SHARED GOVERNANCE OPERATIONS

### Board of Directors

- ▶ Bylaws
- ▶ Board of Directors Policy Manual
- ▶ Board Job Description
- ▶ Proposed Committee Assignments
- ▶ Board Meeting Attendance Reporting Format (Sample)
- ▶ Meeting Minutes (Sample)
- ▶ Board of Directors Membership Application
- ▶ Indirect Cost Allocation
- ▶ Board Annual Report (See 2018 Annual Corporate Meeting & Luncheon Booklet)
- ▶ Election of Board Members/Officers Procedures
- ▶ **CEO Job Description**
- ▶ **CEO Performance Evaluation**
- ▶ **CEO Compensation Regulation**
- ▶ **D&O Insurance Coverage**
- ▶ **Succession Planning Guide**

**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 of 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

# 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.

## Developing Board Policy 2

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### 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.

## Developing Board Policy 2

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## 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.

## Corporate Structure/Board Organization 2

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### 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.

Corporate Structure/Board Organization 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.

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 \_\_\_\_\_

## Corporate Structure/Board Organization 4

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### 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.

## Corporate Structure/Board Organization 5

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.

## Corporate Structure/Board Organization 5

The ALPI Board Code of Ethics:

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- ▶ 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.

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- ▶ 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.

## Corporate Structure/Board Organization 6

### **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.

## Corporate Structure/Board Organization 7

### 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.

## Corporate Structure/Board Organization 5

The ALPI Board Code of Ethics:

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- ▶ 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.

## Corporate Structure/Board Organization 6

### **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.

## Corporate Structure/Board Organization 7

### 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.

## Corporate Structure/Board Organization 8

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.

## Corporate Structure/Board Organization 9

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### 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.

## Corporate Structure/Board Organization 10

- ▶ 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.

**Corporate Structure/Board Organization 11**

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.

## CEO Responsibilities and Functions 2

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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.

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## CEO Responsibilities and Functions 3

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.

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## CEO Responsibilities and Functions 4

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.

## CEO Responsibilities and Functions 5

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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.

## Board Meetings 4

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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.

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## Organizational Finance 2

### 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.

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## Organizational Finance 3

### 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.

## Organizational Finance 4

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### 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.

## Organizational Finance 5

### **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.

## Employment Policies 2

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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.

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## Employment Policies 3

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### 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.

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## 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.

## Employment Policies 5

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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.

## Committees of Board 2

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### 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.

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## Committees of the Board 3

- ▶ 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.

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**Facilities 2****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

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## Model job description 2

- 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**

### **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.

**2018**

**Proposed Board Standing Committees**

| BYLAWS                                                                                                                                                                                                     | FINANCE                                                                                                                                                                                                               |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| VACANT, Chair<br>Katie Clarke<br>Sheila Dixon<br>Gena Spivey<br><b>PaHoua Lee-Yang, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m.                                                   | Marjorie Gaskin, Chair<br>David Walker<br>Josephine Howard<br>Vernon McQueen<br>Stacy Campbell-Domineck<br>Annette Jones<br><b>Dennis Gniewek, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 a.m. |
| PROGRAM PLANNING                                                                                                                                                                                           | MEMBERSHIP                                                                                                                                                                                                            |
| Vernon McQueen, Chair<br>Chester McNorton<br>Samuel Thomas<br>Barbara Grace<br><b>Al Miller, Staff Liaison</b><br><b>Myrna Rodriguez, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m. | Patricia Gamble, Chair<br>Sheila Dixon<br>LaVita Holmes<br>Terry Wellington<br>Shannyn Serrano<br><b>Cheryl Burnham, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 a.m.                           |
| SPECIAL EVENTS                                                                                                                                                                                             | GOVERNMENT AFFAIRS                                                                                                                                                                                                    |
| Marva Hawkins, Chair<br>Glenda Jones<br>Kimberly Ross<br>Ruby Willix<br>Constance Griffin<br><b>Aletta Stroder, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m.                       | Josephine Howard, Chair<br>Glenda Jones<br>Kim Johnson<br>Chester McNorton<br>Constance Griffin<br><b>Christine Samuel, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 a.m.                        |

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

**AD HOC COMMITTEES**

| SUCCESSION PLANNING COMMITTEE                                 |
|---------------------------------------------------------------|
| Josephine Howard, Chair<br>Patricia Gamble<br>Marjorie Gaskin |

| FUNDRAISING/RESOURCE DEV.                                                                 |
|-------------------------------------------------------------------------------------------|
| Patricia Gamble      Vernon McQueen<br>Marva Hawkins      Marjorie Gaskin<br>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.  
2018 Board of Directors  
Attendance Y-T-D Summary**

| Name                                        | Jan 2018 closeout | Feb Orientation | Mar | Apr | May | June | July | Aug | Sept | Oct | Nov | Dec | Jan 2019 closeout |
|---------------------------------------------|-------------------|-----------------|-----|-----|-----|------|------|-----|------|-----|-----|-----|-------------------|
| Katie Clarke                                | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Stacy Campbell-Domineck                     | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Sheila Dixon                                | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Patricia Gamble                             | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Marjorie Gaskin                             | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Marva Hawkins                               | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| LaVita Holmes                               | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| William Holt                                | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Josephine Howard                            | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Kim Johnson                                 | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Annette Jones                               | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Glenda Jones                                | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Chester McNorton                            | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Vernon McQueen                              | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Annie Robinson                              | P                 | TERM EXPIRED    |     |     |     |      |      |     |      |     |     |     |                   |
| Kimberly Ross                               | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Samuel Thomas                               | A                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Shannyn Serrano                             | A                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| David Walker                                | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Ruby Willix                                 | P                 |                 |     |     |     |      |      |     |      |     |     |     |                   |
| Grace Miller<br>Board Emeritus (non-voting) |                   |                 |     |     |     |      |      |     |      |     |     |     |                   |
| <b>TOTAL PRESENT</b>                        | 18                |                 |     |     |     |      |      |     |      |     |     |     |                   |

P = Present

E= Excused

A= Absent



= No Meeting Held



**THE AGRICULTURAL AND LABOR PROGRAM, INC.  
BOARD OF DIRECTORS  
SIGN IN ROSTER**

**Sector: Public**

| <b>Name/Current Position on Board<br/>Representation<br/>Designation/County<br/>Employer/Position</b>                                                            | <b>Mailing Address (no P.O. Boxes)<br/>E-Mail Address</b>                      | <b>Telephone #-s<br/>Home:<br/>Office:<br/>Cell:</b> | <b>SIGNATURE</b> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|------------------|
| Josephine Howard, Secretary<br>Commissioner Roy Tyler - City of Haines City<br>Citizen Designee (Polk County)<br>Polk County School Board/Retired Principal      | 2711 Orchid Drive<br>Haines City, FL 33844<br>Jolizhow13@yahoo.com             | H: (863) 422-0875<br>O: N/A<br>C: (863) 221-2644     |                  |
| Sheila Dixon, Member<br>Commissioner Velma Williams – City of Sanford<br>Citizen Designee (Seminole County)<br>Adult Education Coordinator/Retired               | 3651 Ronda Drive<br>Deltona, FL 32738<br>dixons@seminolestate.edu              | H: N/A<br>O: N/A<br>C: (407) 314-1067                |                  |
| Kim Johnson, Member<br>Mayor Linda Hudson - City of Ft. Pierce<br>Citizen Designee (St. Lucie County)<br>Self Employed/Motivational Speaker                      | 4888 Kings Hwy<br>Fort Pierce, FL 34951<br>Kimjohnson.slc@gmail.com            | H:<br>O:<br>C: (321) 662-6536                        |                  |
| Marjorie Gaskin, Treasurer<br>Commissioner Rufus Alexander - City of Ft. Pierce<br>Citizen Designee (St. Lucie County)<br>City of Ft. Pierce/Retired IT Director | 1511 N. 21 <sup>st</sup> Street<br>Ft. Pierce, FL 34950<br>mbgaskin2@gmail.com | H: (772) 464-0243<br>C: (772) 475-3194               |                  |
| VACANT                                                                                                                                                           |                                                                                |                                                      |                  |
| Kimberly Ross, Member<br>Commissioner Emma Byrd –Hendry BoCC<br>Citizen Designee (Hendry County)<br>Hanley Center Foundation/Social Worker                       | P.O. Box 1214<br>Clewiston, FL 33440<br>rossixnine@netzero.com                 | H:<br>O:<br>C: (863)233-6500                         |                  |
| Samuel Thomas, Member<br>Glades County BoCC<br>Citizen Designee (Glades County)<br>Glades County School Board/Educator                                           | P.O. Box 518<br>Moore Haven, FL 33471<br>anthonythomas2k2@gmail.com            | H: (239)738-0827<br>O:<br>C: (239) 738-1017          |                  |

## Sector: Private

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

## Sector: Low Income

| Name/Current Position on Board<br>Representation<br>Designation/County<br>Employer/Position                                                                      | Mailing Address (no P.O. Boxes)<br>E-Mail Address                                                                                                | Telephone #s<br>Home:<br>Office:<br>Cell:        | SIGNATURE |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|-----------|
| William Holt – Board Chairperson<br>Eastern Region Advisory Council<br>Advisory Council Designee (Indian River Co.)<br>Helseth Financial/Retired Mortgage Banker | 4129 57 <sup>th</sup> Avenue<br>Vero Beach, FL 32967<br>1946holt@gmail.com                                                                       | H: (772) 562-8377<br>O: N/A<br>C: (772) 538-4280 |           |
| Barbara Grace, Member<br>Southern Region Advisory Council<br>Advisory Council Designee (Polk County)                                                             | 905 Entrance Rd.<br>Avon Park, FL 33825<br>E-Mail: <a href="mailto:akagrace@bellsouth.net">akagrace@bellsouth.net</a>                            | H: (863) 452-4627<br>O: N/A<br>C: (305) 562-4425 |           |
| Annette Jones<br>Southern Region Advisory Council<br>Advisory Council Designee (Polk County)<br>DEO/Employment Security Representative                           | 2940 N. Buckingham Road<br>Avon Park, FL 33825<br><a href="mailto:annettejon@gmail.com">annettejon@gmail.com</a>                                 | H: N/A<br>O: (863) 773-3435<br>C: (863) 443-0269 |           |
| Marva Hawkins, Member<br>Northern Region Advisory Council<br>Advisory Council Designee (Seminole County)<br>Sanford Herald/Retired Columnist                     | 1004 Historic Goldsboro Blvd<br>Sanford, FL 32771<br>c/o: <a href="mailto:brinso_s@bellsouth.net">brinso_s@bellsouth.net</a><br>Sheralyn Brinson | H: (407) 322-5418<br>O: N/A<br>C: (407) 416-4234 |           |
| Shannyn Serrano, Member<br>Head Start/Early Head Start Policy Council<br>HS/EHS Policy Council Designee (St. Lucie County)                                       | 1498 SW Broadview Street<br>Port St. Lucie, FL 34983<br><a href="mailto:shannynserrano@yahoo.com">shannynserrano@yahoo.com</a>                   | H: N/A<br>O:<br>C: (954) 667-5935                |           |
| Ruby Willix, Member<br>Central Region Advisory Council<br>Advisory Council Designee (Polk County)<br>State of Florida/Retired Clerical Supervisor                | 2876 Dudley Drive<br>Bartow, FL 33830<br><a href="mailto:rubbywillix@comcast.net">rubbywillix@comcast.net</a>                                    | H: (863) 537-6677<br>O: N/A<br>C: (863) 207-1822 |           |
| LaVita Holmes, Member<br>Southern Region Advisory Council<br>Advisory Council Designee (Hendry County)<br>Kwik Release Bail Bonds/Bail Bonds Agent               | 901 Florida Avenue<br>Clewiston, FL 33440<br><a href="mailto:kwikrelease863@gmail.com">kwikrelease863@gmail.com</a>                              | H: (863) 288-2076<br>O: (863) 983-9900<br>C: N/A |           |



**BOARD OF DIRECTORS  
CHAIN O' LAKES CONFERENCE CENTER  
WINTER HAVEN, FL  
SEPTEMBER 23, 2017  
10:00 a.m.**

I. **CALL TO ORDER:** The meeting was called to order at 10:00 a.m. by the Chairperson William Holt.

➤ **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:** Katie Clarke, Stacy Campbell-Domineck, Patricia Gamble, Marjorie Gaskin, Marva Hawkins, LaVita Holmes, William Holt, Josephine Howard, Annette Jones, Chester McNorton, Annie Robinson, Kimberly Ross, Corey Williams, and Ruby Willix.

**Members Excused:** Kim Johnson, Lester Roberts, Glenda Jones, Vernon McQueen, and David Walker.

**Members Absent:** Dorothy Curry and Samuel Thomas.

**Quorum:** Attendance meets quorum with fourteen (14) voting members present.

**Chief Executive Officer Present:** Deloris Johnson

**Board Attorney Present:** Jonathan Thiele

**Others Present:**

**Department Directors:** Cheryl Burnham, LIHEAP; Al Miller, C&E Deputy Director; Christine Samuel, Human Resources; Myrna Rodriguez, Program Operations (St. Lucie County); Aletta Stroder, Program Operations(Polk County); Dennis Gniewek, Budget & Finance; and Twila Smith, Operations & Quality Control

**Welcome:** Chairperson William Holt, welcomed new Board Member, Annette Jones

II. **PUBLIC COMMENTS:** None

III. **Consent Agenda** – Stacy Campbell-Domineck moved to accept the consent agenda; seconded by Marjorie Gaskin. Motion carried.

**IV. SECRETARY'S REPORT:** Josephine Howard, reporting:

➤ **Draft minutes** (June 24, 2017)

➤ **Correspondence:**

Additional correspondence from five (5) Board members, David Walker, Kim Johnson, Glenda Jones, Lester Roberts, and Vernon McQueen requesting excused absences from the Board of Directors Meeting.

Josephine Howard moved to accept the Secretary's Report for June 23, 2017 and all correspondence; seconded by Annie Robinson. Motion carried.

**V. TREASURER'S REPORT:** Marjorie Gaskin, reporting:

Marjorie Gaskin moved to accept the Treasurer's Report; seconded by Josephine Howard. Motion carried.

Reviewed Balance Sheet as of March 31, 2017:

|                                       |                     |
|---------------------------------------|---------------------|
| <b>Assets</b>                         |                     |
| Cash                                  | \$ 1,275,443        |
| Accounts receivable                   | \$ 931,232          |
| <b>Total current assets</b>           | <b>\$ 2,206,675</b> |
| Prepaid Expenses                      | \$ 4,442            |
| Fixed Assets                          | \$ 496,902          |
| Land                                  | \$ 545,000          |
| Asset Held For Sale                   | \$ 34,146           |
| <b>Total Long Term Assets</b>         | <b>\$ 1,080,490</b> |
| <b>Total Assets</b>                   | <b>\$ 3,287,165</b> |
| <b>Liabilities</b>                    |                     |
| Accounts Payable                      | \$ 607,970          |
| Deferred Revenue                      | \$ 262,816          |
| Payroll Payable                       | \$ 433,883          |
| <b>Total Liabilities</b>              | <b>\$ 1,304,669</b> |
| <b>Equity</b>                         |                     |
| Current Year Activity                 | \$ 167,037          |
| Unrestricted Fund Balance             | \$ 997,404          |
| Investment in Fixed Assets            | \$ 818,055          |
| <b>Total Equity</b>                   | <b>\$ 1,982,496</b> |
| <b>Total Liabilities &amp; Equity</b> | <b>\$ 3,287,165</b> |

## VI. ACTION ITEMS:

### Committee Reports

- **Program Planning** – Chester McNorton reporting:  
Chester McNorton moved for the approval of the following items; seconded by Josephine Howard. Motion carried.
  - ✓ 2017-2018 CACFP Contract Renewal
  - ✓ 2017-2018 Form 424,424A & Revised Statement
  - ✓ 2017-2018 COLA Supplemental Award
  - ✓ 2017-2018 DOE Project Award Notification
  - ✓ 2017-2018 LIHEAP Modification
  - ✓ 2017-2018 HUD Counseling Grant Award
  - ✓ 2017-2018 FNPH Agreement
  - ✓ 2017-2018 Statewide School Readiness Provider Contract
  - ✓ 2017-2018 Statewide Voluntary Prekindergarten Provider Contract
  - ✓ Submittal of 2016-2017 Head Start Program Information Report (PIR)
  - ✓ Submittal of 2016-2017 Early Head Start Program Information Report (PIR)
  
- **Membership Committee:** Patricia Gamble, reporting:  
Patricia Gamble moved for the approval of the following; seconded by Marjorie Gaskin. Motion carried.
  - ✓ Certify 2017 Corporate Membership Rosters for Advisory Councils' Annual Elections
  - ✓ Certify 2017 Regional Advisory Councils Membership Rosters
  
- **By-laws Committee:** Annette Jones, reporting – No formal recommendations
  
- **Government Affairs Committee:** Josephine Howard reporting:  
September 26, 2017 is National Voter Registration Day in Polk County, and email was distributed and nine organizations will join in a nationwide effort to register voters on Tuesday, September 26, 2017. New voters will have the opportunity to vote and current voters will be able to update their records if they have moved or changed their name. October 10<sup>th</sup> is the deadline to register to vote in Polk County's November 7<sup>th</sup> elections in Auburndale and Winter Haven.
  
- **Finance Committee:** Marjorie Gaskin reporting:  
Marjorie Gaskin moved for the approval of the following items; seconded by Josephine Howard. Motion carried.
  - ✓ Financial Reports
  - ✓ Proposed Funding Opportunities
  - ✓ Funding Opportunities
  - ✓ 2017-2018 Revised Operation Budget
  - ✓ 2017 Independent Audit Timelines
  
- **Special Events Committee:** Marva Hawkins, reporting:  
Marva Hawkins moved The Board approve the following action items; seconded by Patricia Gamble. Motion carried.
  - ✓ The four Community Service Award Recipients

- ✓ The Theme for the Annual Meeting

➤ **2016-2017 Insurance Renewal Proposals (Ratify)**

- ✓ Liability & Property
- ✓ D & O
- ✓ Child Accident

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 Agency wide Budget Revisions**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2016-2017 PIR's Head Start & Early Head Start (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 424,424A & Revised Statement (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 Notice of Award-COLA (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 DOE Project Award Notification (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017 LIHEAP Modification (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 CCFP Contract Renewal (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2016-2018 HUD Housing Counseling Grant Award (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 FNPH Agreement (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 Vision Care Enrollment (Ratify)**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017 RSM Independent Audit Timelines**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2017-2018 Proposed HS/EHS Community Representatives – Donna Gibson**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **2018 Proposed Community Services Awards Recipients**

Marjorie Gaskin moved to accept the above item; seconded by Josephine Howard. Motion carried.

➤ **Northern Region Advisory Council:** Report in Board Packet

➤ **Southern Region Advisory Council:** Report in Board Packet

➤ **Eastern Region Advisory Council:** Report in Board Packet

Marjorie Gaskin submitted \$70.00 to the Finance Department for the Scholarship Fund.

➤ **Central Region Advisory Council:** Ruby Willix reporting:

Annual Meeting will be 10/7/2017 at 10:00 am at the Winter Haven Senior Adult Center located at 250 Lake Silver Drive, Winter Haven, FL 33880

➤ **Policy Council:** Report in Board Packet

**VII. OTHER BUSINESS**

➤ **2017-2018 Board Appointment**

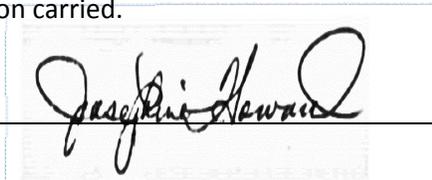
Josephine Howard was appointed as the Board Liaison to the HS/EHS Policy Council for the 2017/2018 program year.

**VIII. UPCOMING MEETINGS/CONFERENCES:** See Board Packet

**IX. ADJOURNMENT**

Marjorie Gaskin moved to adjourn the meeting at 10:40 a.m.; seconded by Marva Hawkins. Motion carried.

Recorder:



Date: September 23, 2017



# 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<br>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      |             |  |            |
| <b>ADMINISTRATION</b>                                          |             |               |              |              |              |             |             |            |             |              |             |             |  |            |
| CEO                                                            | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| FD                                                             | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| QC                                                             | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| HR                                                             | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| EXECUTIVE SUPPORT                                              | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| FINANCE SUPPORT                                                | 1           |               |              |              |              |             |             |            |             |              |             |             |  | 1          |
| HR SUPPORT                                                     | 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       |
| <b>TOTAL ALLOCATED</b>                                         | <b>233</b>  | <b>143.15</b> | <b>11.09</b> | <b>14.97</b> | <b>20.87</b> | <b>7.42</b> | <b>0.95</b> | <b>5.4</b> | <b>5.45</b> | <b>11.35</b> | <b>2.05</b> | <b>10.7</b> |  | <b>233</b> |
| <b>FUNDING</b>                                                 |             |               |              |              |              |             |             |            |             |              |             |             |  |            |
|                                                                |             | 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:

|                                                     |        |          |       |         |      |     |
|-----------------------------------------------------|--------|----------|-------|---------|------|-----|
| <b>ALLOCATION FOR HS/VPK FOR CENTERS EXCEPT GWT</b> |        |          |       |         |      |     |
| HS Facilities                                       | 350613 | Children | 691 x | 6 hours | 4146 | 76% |
| VPK                                                 | 430013 | Children | 430 x | 3 hours | 1290 | 24% |
|                                                     |        |          |       |         | 5436 |     |
| <b>ALLOCATION FOR HS/VPK/EHS ADMIN OFFICE</b>       |        |          |       |         |      |     |
| 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 |     |
| <b>ALLOCATION FOR HS/EHS/VPK FOR GWT ONLY</b>       |        |          |       |         |      |     |
| 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:

| <b>Grant</b> | <b>Square Footage</b> | <b>%</b>    | <b>Amount Allocated</b> | <b>G&amp;A Allocated</b> | <b>Total Amount Allocated</b> |
|--------------|-----------------------|-------------|-------------------------|--------------------------|-------------------------------|
| 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                             |
|              |                       |             |                         |                          |                               |
| <b>Total</b> | <b>1,000</b>          | <b>100%</b> | <b>\$10,000</b>         | <b>\$1,000</b>           | <b>\$10,000</b>               |

**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.



**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.

|                               |                    |
|-------------------------------|--------------------|
| <b>DATE REVIEWED/REVISED:</b> | October 28, 2016   |
| <b>APPROVED BY :</b>          | Board of Directors |
| <b>DATE APPROVED:</b>         | 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).

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**B. ACCOMPLISHMENTS:**

1) Briefly outline accomplishments during the past year.

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

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**C. GOALS**

1) Briefly outline goals for the upcoming year.

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

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

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**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

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B. Areas of Greatest Strength

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C. Areas of Weakness

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D. Overall Comments and Recommendations

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**Chief Executive Officer's Response:**

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Chief Executive Officer's Signature

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Date

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ALPI Board of Director's Chairperson Signature

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Date

**Board Action:**

Recommend contract continuation?

\_\_\_\_\_ Yes \_\_\_\_\_ No      Date \_\_\_\_\_

|                                                    |                                                 |                             |
|----------------------------------------------------|-------------------------------------------------|-----------------------------|
| ACF<br>Administration for Children and<br>Families | U.S. DEPARTMENT<br>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.



**PHILADELPHIA  
INSURANCE COMPANIES**

A Member of the Tokio Marine Group

One Bala Plaza, Suite 100  
Bala Cynwyd, Pennsylvania 19004

**Philadelphia Indemnity Insurance Company**

**COMMON POLICY DECLARATIONS**

Policy Number: PHSD1288286

**Named Insured and Mailing Address:**  
The Agricultural & Labor Program Inc  
300 Lynchburg Rd  
Lake Alfred, FL 33850-2576

**Producer: 26806**  
Socius Insurance Services, Inc.  
1408 N. Westshore Blvd  
Suite 611  
Tampa, FL 33607

**Policy Period From:** 10/24/2017 **To:** 10/24/2018

at 12:01 A.M. Standard Time at your mailing address shown above.

**Business Description:** Non-Profit Organization

IN RETURN FOR THE PAYMENT OF THE PREMIUM, AND SUBJECT TO ALL THE TERMS OF THIS POLICY, WE AGREE WITH YOU TO PROVIDE THE INSURANCE AS STATED IN THIS POLICY.

THIS POLICY CONSISTS OF THE FOLLOWING COVERAGE PARTS FOR WHICH A PREMIUM IS INDICATED. THIS PREMIUM MAY BE SUBJECT TO ADJUSTMENT.

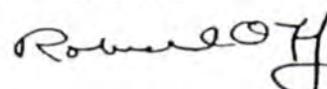
|                                            | <b>PREMIUM</b>      |
|--------------------------------------------|---------------------|
| Commercial Property Coverage Part          |                     |
| Commercial General Liability Coverage Part |                     |
| Commercial Crime Coverage Part             |                     |
| Commercial Inland Marine Coverage Part     |                     |
| Commercial Auto Coverage Part              |                     |
| Businessowners                             |                     |
| Workers Compensation                       |                     |
| Directors and Officers FlexiPlus           | 11,586.00           |
| <b>Total</b>                               |                     |
|                                            | <b>\$ 11,586.00</b> |

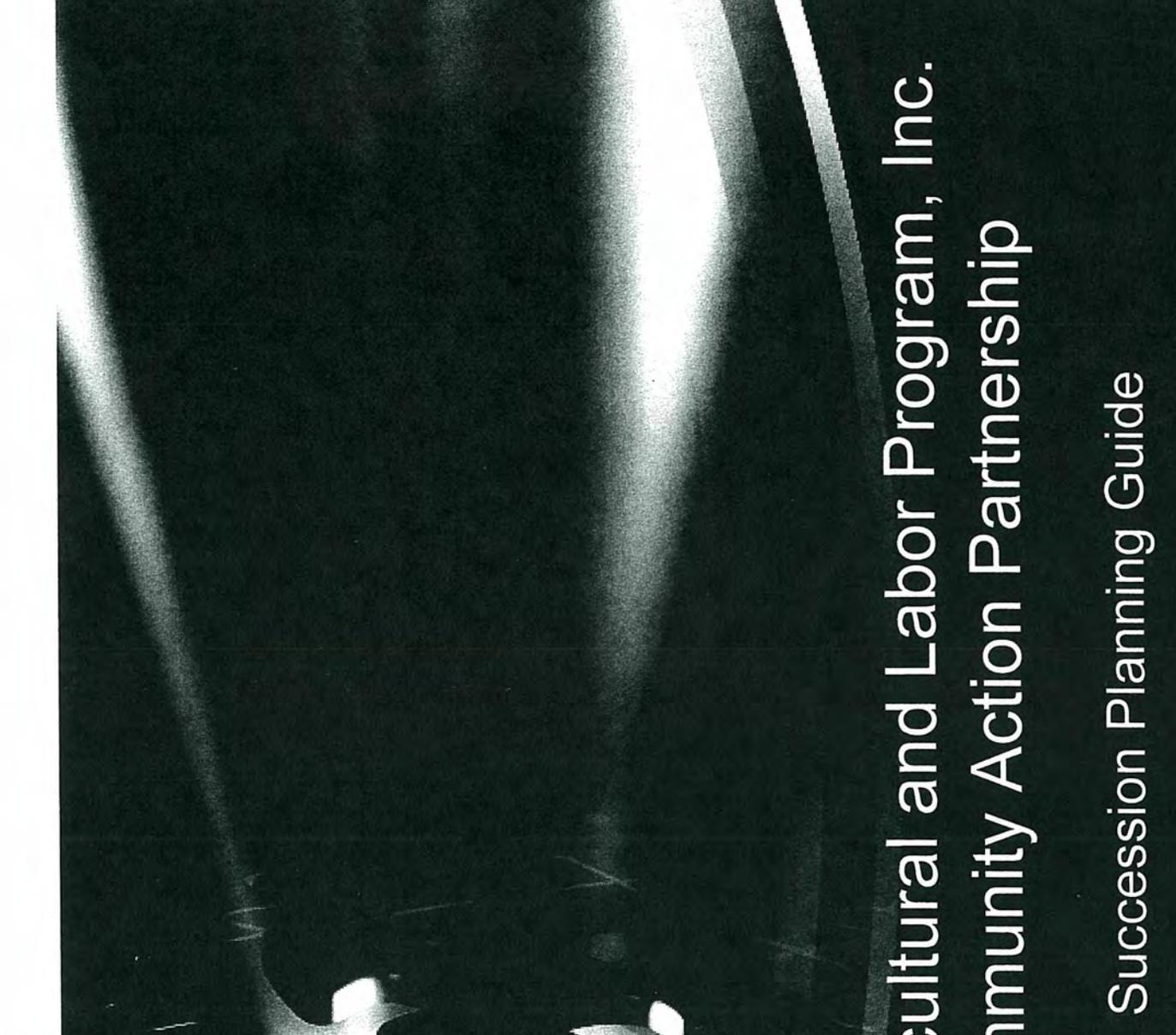
**FORM (S) AND ENDORSEMENT (S) MADE A PART OF THIS POLICY AT THE TIME OF ISSUE**  
**Refer To Forms Schedule**

\*Omits applicable Forms and Endorsements if shown in specific Coverage Part/Coverage Form Declarations

CPD- PIIC (06/14)

  
Secretary

  
President and 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

11/21/2010

# 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.*

11/21/2010

# 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.

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# 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.

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# 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.

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# 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*).

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# 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.

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# 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.

11/21/2010

# 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?"

11/21/2010

# 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?

11/21/2010

# 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?”

11/21/2010

# 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.

11/21/2010

# Succession Planning Calendar

11/21/2010

## **SHARED GOVERNANCE OPERATIONS**

### **Head Start/EHS Policy Council**

- ▶ Bylaws
- ▶ Meeting Attendance Report Form (Sample)
- ▶ Meeting Minutes (Sample)
- ▶ Election of Policy Council Members/Officers Procedures
- ▶ Annual Meeting Report (See 2018 Annual Corporate Meeting & Luncheon Booklet)
- ▶ **Advisory, Policy Committee & Policy Council Handbook** (see Agency and Shared Governance Policies and Procedures Section)

**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 §1301.3 Policy Council and Policy Committee 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 §1301.3, 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).

- 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 §1302.14 Selection Process.
- 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. If a member intends to serve for another year, she/he must stand for re-election. No member shall serve on the Policy Council for more than five (5) one-year terms.

- 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.

**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

*Sharon Serrano*  
\_\_\_\_\_  
Chairperson of the Policy Council

Date Amended and Adopted: February 21, 2018

**AGRICULTURAL AND LABOR PROGRAM, INC.  
2017-2018 POLICY COUNCIL MONTHLY MEETING ATTENDANCE**

| CENTER                              | NAME                    | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUNE | JULY | AUG | SEPT |
|-------------------------------------|-------------------------|-----|-----|-----|-----|-----|-----|-----|-----|------|------|-----|------|
| Lincoln Park Head Start             | Tammy Rovito            | P   |     |     |     |     |     |     |     |      |      |     |      |
| Lincoln Park Head Start             | Clemeshia Thomas        | E   |     |     |     |     |     |     |     |      |      |     |      |
| Garden Terrace Head Start           | Yasmine Monroig         | P   |     |     |     |     |     |     |     |      |      |     |      |
| Garden Terrace Head Start           | Clavin Jamal Miller Sr. | E   |     |     |     |     |     |     |     |      |      |     |      |
| Queen Townsend HSC II               | Lonnie Melvin           | P   |     |     |     |     |     |     |     |      |      |     |      |
| Queen Townsend HSC II               | Genetha Harris          | A   |     |     |     |     |     |     |     |      |      |     |      |
| Child Development & Family Services | Shannyn Serrano         | P   |     |     |     |     |     |     |     |      |      |     |      |
| Child Development & Family Services | Jackie Castaneda        | P   |     |     |     |     |     |     |     |      |      |     |      |
| Francina Duval Head Start           | Catelin Ann Bock        | P   |     |     |     |     |     |     |     |      |      |     |      |
| George W. Truitt Family Services    | Shaquita Wilcox         | P   |     |     |     |     |     |     |     |      |      |     |      |
| George W. Truitt Family Services    | Raquell Bizzell         | P   |     |     |     |     |     |     |     |      |      |     |      |
| Frostproof Child Development        | Richauna Williams       | P   |     |     |     |     |     |     |     |      |      |     |      |
| EHS Contracted Site St. Lucie       | Karoline Soto           | P   |     |     |     |     |     |     |     |      |      |     |      |
| HS Contracted Site St. Lucie        | Kerrian Jacobs          | A   |     |     |     |     |     |     |     |      |      |     |      |
| Community Representative            | Haydian Allen           | E   |     |     |     |     |     |     |     |      |      |     |      |
| Community Representative            | Karen Bailey            | A   |     |     |     |     |     |     |     |      |      |     |      |
| Community Representative            | Donna Gibson            | P   |     |     |     |     |     |     |     |      |      |     |      |
| Community Representative            | Dr. Patricia Smith      | A   |     |     |     |     |     |     |     |      |      |     |      |
| Board Representative                | Josephine Howard        | P   |     |     |     |     |     |     |     |      |      |     |      |

*Total Representatives Present:* 12

| CENTER                              | NAME                   | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUNE | JULY | AUG | SEPT |
|-------------------------------------|------------------------|-----|-----|-----|-----|-----|-----|-----|-----|------|------|-----|------|
| <b>ALTERNATES</b>                   |                        |     |     |     |     |     |     |     |     |      |      |     |      |
| Lincoln Park Head Start             | Sierra Baker           | A   |     |     |     |     |     |     |     |      |      |     |      |
| Lincoln Park Head Start             | Zynia Swoope           | P   |     |     |     |     |     |     |     |      |      |     |      |
| Garden Terrace Head Start           | Keonia Shaquina Coats  | A   |     |     |     |     |     |     |     |      |      |     |      |
| Garden Terrace Head Start           | Jennifer Ford          | A   |     |     |     |     |     |     |     |      |      |     |      |
| Queen Townsend HSC II               | Elizabeth Carrillo     | A   |     |     |     |     |     |     |     |      |      |     |      |
| Queen Townsend HSC II               | Shandria William       | A   |     |     |     |     |     |     |     |      |      |     |      |
| Child Development & Family Services | Johanna Collazos       | A   |     |     |     |     |     |     |     |      |      |     |      |
| Child Development & Family Services | Josefina Cordova Perez | A   |     |     |     |     |     |     |     |      |      |     |      |
| Francina Duval Head Start           | George Prince          | A   |     |     |     |     |     |     |     |      |      |     |      |
| George W. Truitt Family Services    | Tychus Doe             | A   |     |     |     |     |     |     |     |      |      |     |      |
| George W. Truitt Family Services    | Elizabeth Granados     | A   |     |     |     |     |     |     |     |      |      |     |      |
| Frostproof Child Development        | Tanakia Malcolm-Word   | A   |     |     |     |     |     |     |     |      |      |     |      |
| EHS Contracted Site St. Lucie       | TBA                    | A   |     |     |     |     |     |     |     |      |      |     |      |
| HS Contracted Site St. Lucie        | Arnicia Isaac          | A   |     |     |     |     |     |     |     |      |      |     |      |

1

**P - PRESENT**

**E - EXCUSE A - ABSENT**

 **NO MEETING**

Agricultural and Labor Program, Inc.  
Head Start/Early Head Start Policy Council Meeting  
**ALPI Administrative Office**  
2202 Avenue Q, Fort Pierce, FL 34950  
October 18, 2017

**MINUTES**

**1. CALL TO ORDER**

Shannyn Serrano, Policy Council Vice-Chairperson called the meeting to order at 1:14 p.m.

**2. ROLL CALL**

Richauna Williams, Policy Council Secretary conducted the roll call. Members present: Catelin Ann Bock, Tammy Rovito, Jackie Castaneda, Shannyn Serrano, Lonnie Melvin, Yasmine Monroig, Shaquita Wilcox, Raquel Bizzell, Richauna Williams and Karoline Soto.

Community Representatives present: Josephine Howard and Donna Gibson.

Alternate: Zynia Swoope (with voting capacity).

A quorum was established.

Staff present: Myrna Rodriguez and Aletta Stroder.

Myrna Rodriguez introduced the agency's Personnel Policies and Procedures Standards of Conduct. Ms. Rodriguez provided an overview of the policies and scenarios of which the Policy Council will be utilizing in accordance with the Head Start Performance Standards and the Head Start Act regarding employment and dismissal of program staff.

Additionally, Josephine Howard was asked to introduce the Florida Sunshine Law and to provide an overview of the law. Mrs. Howard provided a detailed overview of the different sections of the law.

**3. MISSION STATEMENT**

Policy Council Members read the Mission Statement.

**4. SECRETARY'S REPORT**

Richauna Williams asked for members to take a few minutes to read the minutes from August 9, 2017. Ms. Williams asked if there were any questions to the minutes. No questions or corrections were made.

Donna Gibson made a motion to approve the Secretary's Report as presented. Tammy Rovito seconded. Motion carried.

**5. POLICY COUNCIL COMMITTEES**

Personnel/Grievance Committee: Aletta Stroder presented and distributed the Human Resources list of new hires and termination dated October 18, 2017 for review and approval. The Human Resources listing of new hires included: 2 Teachers, 1 Teacher Assistant, 1 Administrative Assistant, 1 Bus Driver, 1 Caregiver, and 1 Instructor After School Aide. Termination: 1 Child Development Services Manager I.

Additionally, the Human Resources list of new hires and termination dated August 9, 2017 was presented for ratification. The Human Resources listing of new hires included: 3 Teacher Assistants and 2 Bus Drivers. Termination: 1 Bus Driver.

Raquel Bizzell made a motion to approve the Policy Council Human Resources Listings as presented. Zynia Swoope seconded. Motion carried. (The original Human Resources Listings are on file with the minutes).

Grants/Fiscal Committee: Myrna Rodriguez presented the Financial Reports and provided an overview of the reports to include: the Notice of Award (NOA), Sunshine Account, Food Program Reimbursement, and the Non-Federal Share.

Jackie Castaneda made a motion to approve the Financial Reports as presented. Yasmine Monroig seconded. Motion carried.

**6. REPORTS**

Head Start/Early Head Start of St. Lucie County: Myrna Rodriguez reported. Ms. Rodriguez introduced the St. Lucie County progress report; she provided an overview and indicated that this report will be sent to the Council as part of the package on a monthly basis seven (7) days prior to the meeting. The report demonstrates the progress the program is making in meeting the goals and objectives.

Early Head Start of Polk County: Aletta Stroder reported. Ms. Stroder also introduced the Polk County Early Head Start progress report; she stated that the reports are on the same areas demonstrating the progress in meeting the program's goals and objectives.

Board of Directors: No report at this time.

Donna Gibson made a motion to approve the reports as presented. Tammy Rovito seconded. Motion carried.

**7. PARENT COMMITTEE REPORTS**

Myrna Rodriguez provided an overview of the Parent Committee Reports presented and stated that the reports will be a part of the package that will be sent prior to the meeting so that members will have time to review the information that will be discussed at the meeting. However, Ms. Rodriguez also stated that during this time, members have the opportunity to add or highlight activities that may be in the report.

Jackie Castaneda made a motion to approve the reports as presented. Shaquita Wilcox seconded. Motion carried.

**8. OLD BUSINESS**

No old business at this time.

**9. NEW BUSINESS**

No new business at this time.

**10. ADJOURNMENT**

The meeting was adjourned at 2:13 p.m.

\_\_\_\_\_  
Policy Council Chairperson

SAMPLE

**ALPI HEAD START/EARLY HEAD START  
OPERATIONAL POLICIES AND PROCEDURES  
PART 1 – PROGRAM GOVERNANCE**

|                               |                                                                                                                                                                                                                     |
|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SUBJECT</b>                | <b>Program Governance</b>                                                                                                                                                                                           |
| <b>45 CFR SECTION:</b>        | §1301.3 Policy Council                                                                                                                                                                                              |
| <b>PERFORMANCE OBJECTIVE:</b> | To establish and maintain a formal structure of shared governance through which parents can participate in policy-making and the decision-making for the direction of the Head Start and Early Head Start programs. |

**POLICIES**

a) ALPI establish and maintain a Policy Council at the agency level and is responsible for the direction of the Head Start and Early Head Start program, including program design and operations, long/short-term planning goals and objectives, taking into account the annual communitywide strategic planning, needs assessment and self-assessment.

b) Composition – ALPI’s Policy Council composition consist of parents of children who are currently enrolled in the Head Start and Early Head Start program, which constitute of the majority (74%) of the members of the policy council; and members at large of the community served by the program who may include parents of children who were formerly enrolled in the program and one Board of Directors (governing body) representative.

ALPI establish and maintain a process that ensures that members of the policy council do not have a conflict of interest in accordance with Head Start Act. No staff or members of their immediate families will serve on the policy council except parents who occasionally substitute as staff.

c) Duties and Responsibilities –

(1) ALPI’s Policy Council is responsible for activities specified §642(c)(2)(D) of the Head Start Act; which activities shall approve and submit to the Board of Directors (governing body) decisions to include the following:

- Activities that support the active involvement of parents in supporting program operations, including policies to ensure that the program is responsive to the community and parent’s needs;
- Program recruitment, selection, and enrollment priorities;
- Applications for funding and amendments to applications for funding for programs prior to submission of the applications;

- Budget planning for program expenditures, including policies for reimbursement and participation in policy council activities;
- Bylaws for the operation of the policy council;
- Program personnel policies and decisions regarding the employment of program staff, consistent with the Head Start Act §642(1)(E)(iv)(IX), including but are not limited to the following:
  - 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;
  - Personnel policies regarding the hiring, evaluation, termination, and compensation of employees.
- Developing procedures for how members of the policy council will be elected
- Recommendations on the selection of delegate agencies and the service areas of such agencies.

(2) The Policy Council uses ongoing monitoring results, data on school readiness goals, other information described in §1302.102, and information described in section (642(d)(2) of the Head Start Act to conduct its responsibilities to include but are not limited to:

- Financial statements including credit card expenditures
- Program progress summaries reports
- Program enrollment and attendance reports including children partially enrolled in subsidize care
- Meals and snacks provided through the Child Care Food Program/USDA
- Financial audit
- Program annual self-assessment report and improvement plan
- Agency's communitywide strategic planning, and needs assessment of the program including annual updates
- Communication and guidance from the funders
- The annual Program Information Report (PIR).

#### d) Term

(1) A member will serve for one year term

(2) If the member intends to serve for another year, she or he will stand for re-election

(3) The Policy Council at the agency level in its bylaws will include how many one-year terms, not to exceed five terms, a person may serve

(4) The program seats the successor policy council, before the existing policy council is dissolved (October).

e) Reimbursement

The program will reimburse low-income parents participating in the policy council for reasonable expenses incurred if necessary.

**OPERATIONAL PROCEDURE:**

**Composition**

1. ALPI Board of Directors is responsible for the total membership of the Policy Council. The recommendations for composition are based on the number of Head Start and Early Head Start centers and children enrolled in the program. The centers with 5 or more classrooms elect two representatives and two alternates. Refer to the approved membership matrix per center in item #6 of this procedure.
2. The Program Operations Director is responsible for submitting a potential list of members at large of the community served to the Deputy Director and subsequently to the Chief Executive Officer for review and approval and to the Board of Directors.
3. Family Service staff will provide information to parents upon the recruitment and enrollment process about program opportunities; i.e., parent committees, Policy Council, advisory committees, etc.
4. The Child Development Services Manager/Coordinator and Contracted Center Directors are responsible for establishing and maintaining the Parent Committees at the center level and it's structure in September of the program year, and provide training to include but are not limited to the following:
  - Parliamentary Procedures
  - Roles and Responsibilities of Parents
  - Parent's Rights
  - Program Governance
  - Education and Child Development Program Services
  - Health Program Services
  - Family and Community Engagement Program Services

5. The Child Development Services Manager/Coordinator and Contracted Center Directors during the first Parent Committee Meeting in September with the assistance of the Family Support Services Coordinators and/or the Family and Community Partnerships Managers are responsible for facilitating the election process that will consist of the following officers:

- President
- Vice-president
- Secretary
- Treasurer
- Policy Council Representative(s)
- Policy Council Alternate(s)

6. The Child Development Services Managers will ensure that the established parent committee elects policy council representative(s) and alternate(s) at the first parent committee meeting in September, the membership per center will consist of the following:

**Directly operated centers:**

|                                           |                                  |
|-------------------------------------------|----------------------------------|
| 2 Classrooms Francina Duval HS Center     | 1 Representative & 1 Alternate   |
| 6 Classrooms Lincoln Park HS Center       | 2 Representatives & 2 alternates |
| 5 Classrooms Garden Terrace HS Center     | 2 Representatives & 2 Alternates |
| 9 Classrooms George W. Truitt FS Center   | 2 Representatives & 2 Alternates |
| 9 Classrooms Child Dev. & FS Center       | 2 Representatives & 2 Alternates |
| 6 Classrooms Frostproof Child Dev. Center | 2 Representatives & 2 Alternates |
| 14 Classrooms Queen Townsend HS Center II | 2 Representatives & 2 Alternates |

**Contracted centers:**

Loving Care Child Development & Learning Tree Academy will work together with the Child Development Services Manager/Coordinator (liaison) from Francina Duval Head Start Center to elect 1 representative and 1 alternate.

JumpStart Development Center will work together with the Child Development Services Manager/Coordinator (liaison) from the Frostproof Child Development Center for the JumpStart parents to be represented by the elected members at the Frostproof Child Development Center.

7. Within 72 hours of the conclusion of the first Parent Committee Meeting, the Child Development Services Manager/Coordinator and Contracted Center Directors through the liaison will submit: name, address, home/work telephone numbers of the members elected to serve on the Policy Council to the Program Operations Directors.

8. Along with the information will be the signed certification of each elected members stating that he/she is not an ALPI or contracted centers staff member, nor member of their families, serving on the Policy Council. Immediate family means: wife, husband, son, daughter, mother, father, sister, brother, aunt, uncle, grand parents or relatives by marriage.
9. Policy Council members are elected or re-elected annually. (Community Representatives are selected annually). Policy Council will serve a one (1) year term beginning in October. Members may serve on the Policy Council shall not exceed a combined total of five (5) years. Any part of the year served will be considered as a full term.
10. Members that obtained employment with ALPI or contracted center, will be required to resign from the Policy Council; except parents who occasionally substitute for Head Start or Early Head Start Staff.
11. Past employees must be out of services for at least two years before becoming eligible to serve on the Policy Council.
12. The Program Operations Director or designee will develop a Policy Council Roster and forward it to the Deputy Director and the Chief Executive Officer within 72 hours after receiving the necessary information from the centers.

## **SHARED GOVERNANCE OPERATIONS**

### **Advisory Councils**

- ▶ Council Job Descriptions (Sample)
- ▶ Committee Assignments (Sample)
- ▶ Meeting Attendance Format (Sample)
- ▶ Meeting Minutes (sample)
- ▶ Corporate Membership Application
- ▶ Advisory, Policy Committee & Policy Council Handbook (see Agency and Shared Governance Policies and Procedures Section for details)
- ▶ Regional Advisory Council Election Procedures (Sample)
- ▶ Annual Meeting Report (See 2018 Annual Corporate Meeting & Luncheon Booklet)

## **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.



## CENTRAL REGION ADVISORY COUNCIL 2017 COMMITTEES' ASSIGNMENTS

| Scholarship                                                                                             | Special Events                                                                                                                                   | Membership                                                                                 | Government Affairs                                                       | Nominating                                                                                                         | Community Relations                                                    |
|---------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| Ruby Willix (C)<br>Margaree Simon<br>Helen Rowe<br>Annie Larkins<br>Josephine Howard<br>Patricia Gamble | Johnnie McNair (C)<br>Glenda Jones<br>Hollis Jackson<br>Dorothy Spencer<br>Margaree Simon<br>Patricia Gamble<br>Earnestine Davis<br>Doris Parker | Annie Larkins (C)<br>Glenda Jones<br>Dorothy Spencer<br>Hollis Jackson<br>Elizabeth Scaife | Josephine Howard (C)<br>Glenda Jones<br>Earnestine Davis<br>Doris Parker | Jacqueline Rentz (C)<br>Louvenia Crumity<br>Earnestine Davis<br>Josephine Howard<br>Johnnie McNair<br>Doris Parker | Elizabeth Scaife (C)<br>Helen Rowe<br>Louvenia Crumity<br>Clora Dubose |

# SAMPLE



## The Agricultural and Labor Program, Inc. 2016-2017 CRAC Attendance Roster (Scheduled Meetings: October, March, May, August)

| Council Member       | Oct 2016<br>Annual Corporate Membership Meeting | Jan 2017<br>Agency's 49 <sup>th</sup> Annual Mtg (optional) | Feb<br>Agency's Shared Gov. Orientation | Mar | May | Aug | Sept<br>Special Events Planning Meeting (TBD) |
|----------------------|-------------------------------------------------|-------------------------------------------------------------|-----------------------------------------|-----|-----|-----|-----------------------------------------------|
| Louvenia Crumity     | P                                               | E                                                           | A                                       | P   |     |     |                                               |
| Earnestine Davis     | E                                               | E                                                           | P                                       | P   |     |     |                                               |
| Clora Dubose         | P                                               | E                                                           | P                                       | P   |     |     |                                               |
| Patricia Gamble      | P                                               | P                                                           | P                                       | P   |     |     |                                               |
| Josephine Howard     | E                                               | P                                                           | E                                       | P   |     |     |                                               |
| Hollis Jackson       | P                                               | E                                                           | P                                       | A   |     |     |                                               |
| Glenda Jones         | P                                               | P                                                           | P                                       | P   |     |     |                                               |
| Annie Larkins        | P                                               | P                                                           | P                                       | P   |     |     |                                               |
| Johnnie McNair       | E                                               | P                                                           | P                                       | P   |     |     |                                               |
| Doris Parker         | P                                               | E                                                           | P                                       | P   |     |     |                                               |
| Jacqueline Rentz     | E                                               | E                                                           | A                                       | A   |     |     |                                               |
| Helen Rowe           | P                                               | P                                                           | A                                       | P   |     |     |                                               |
| Patricia Salary      | p                                               | E                                                           | A                                       | A   |     |     |                                               |
| Elizabeth Scaife     | P                                               | E                                                           | P                                       | P   |     |     |                                               |
| Margaree Simon       | P                                               | E                                                           | P                                       | P   |     |     |                                               |
| Dorothy Spencer      | P                                               | E                                                           | P                                       | P   |     |     |                                               |
| Lydia Thomas         | P                                               | RESIGNED                                                    |                                         |     |     |     |                                               |
| Ruby Willix          | E                                               | P                                                           | P                                       | p   |     |     |                                               |
| <b>Total Present</b> | 13                                              | 7                                                           | 12                                      | 14  |     |     |                                               |

P = Present

E = Excused

A = Absent



## COUNCIL/COMMITTEE MEETING REPORT FORM

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

Central Region Advisory Council  
**COUNCIL/COMMITTEE**

August 9, 2017  
**DATE**

### Type of Report

- Reporting/Updating  
 Recommending Board Action  
 Recommending Policy Changes

- I. **CALL TO ORDER:** The Meeting was called to order at 5:31 p.m. by Chairperson Glenda Jones.
- II. **MOMENT OF SILENCE:** Observed by all
- III. **MISSION STATEMENT:** Recited in unison
- IV. **ROLL CALL:** See attached attendance roster and sign-in sheet
- V. **SECRETARY'S REPORT:** Minutes (May 10, 2017) Correspondence: None  
Josephine Howard moved to accept the minutes as presented; seconded by Elizabeth Scaife. Motion carried.
- VI. **BOARD REPRESENTATIVE REPORT: Ruby Willix, reporting:**
  - Community Service Award needs to be in by 9/1/17
  - Board Planning Retreat will be November at the Double Tree Hilton in Orlando
- VII. **NEW BUSINESS**
  - **Corporate Membership Applications: Mary Shepherd from Davenport, FL.**  
Elizabeth Scaife moved to accept Mary Shepherd; seconded by Patricia Gamble. Motion carried.
  - **Review 2016-2017 Corporate Membership Roster**  
Checked by Chair, Glenda Jones and signed off by Patricia Gamble.
  - **Discussion of the 2017 Annual CRAC Meeting (Oct. 7, 2017)**  
Speaker: Joe Halman
  - **Proposed CRAC Annual Meeting Theme:**
    - ✓ Unity Is Our Commitment
    - ✓ Commitment To Unity
    - ✓ Committed To Changing Lives – 2017 Theme selected
  - **Proposed Caterers – (Delivery, 75 ppl and \$500 budget)**
    - ✓ Especially 4 You – Johnnie McNair
    - ✓ Sonny's – Jennie Calhoun
    - ✓ KFC – Twila Smith
    - ✓ Touched By An Angel – Dartha Shular
  - **2017 Arabell Wiggins Scholarship Applications**
    - ✓ The Scholarship Committee reported that due to incomplete or over income applicants, no award will be presented for 2017.
    - ✓ Reviewed the scholarship donations received to-date. Informed the newly elected members of the yearly assessed donations (\$30).
  - **Discussion of Council's Recommendation for 2018 Agency's Community Service Award**  
Two recipients were nominated (Destiny Place – M. Roundtree Banquet – 9/2/17 and Maurice Nelson – Ft. Meade House of Israel). Johnnie McNair recommended Maurice Nelson; seconded by Dorothy Spencer. Motion carried.
  - **One Goal Summer Conference: Josephine Howard reporting:**  
**Theme: One Goal Building the Future Together Putting Families and Children First**  
July 20-22, 2017 in Tampa, FL at the Hilton Downtown  
There was a variety of excellent concurrent sessions and speakers. This conference brought together 900 early education care providers and leaders from around the state. Information was shared on best practices in the field and how to build common frameworks of knowledge, and understanding to assist in unified planning for young children and their families. Networking with key leaders in the field.
  - **Diversity Luncheon in Bartow on September 20, 2017, Speaker: Dr. R. Harris** (former KKK Grand Dragon)
  - Helen Rowe relocated to Tampa; resigned from the council.
- VIII. **OLD BUSINESS**
  - **Annual Picnic Feedback**  
Chairperson Jones gave "thanks" to Pat Gamble for engaging the youth. Reminded the Council that everyone should be involved from start to finish.
  - **Expiring Membership Terms: Twila Smith reporting:**  
Members with terms expiring in 2017 will be receiving a letter of thanks. Please respond if you wish to continue to serve on the CRAC.



Today's Date:

\_\_\_\_\_

# Corporate Application

The Agricultural and Labor Program, Inc.  
P.O. Box 3126 • Winter Haven, FL 33885 • [www.alpi.org](http://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 2017 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 2017 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. JensenBeach)
- **Dade County**  
(Florida City)
- **Indian River County**  
(Vero Beach, Gifford, Fellsmere, Wabasso)

# Sample

## 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.*

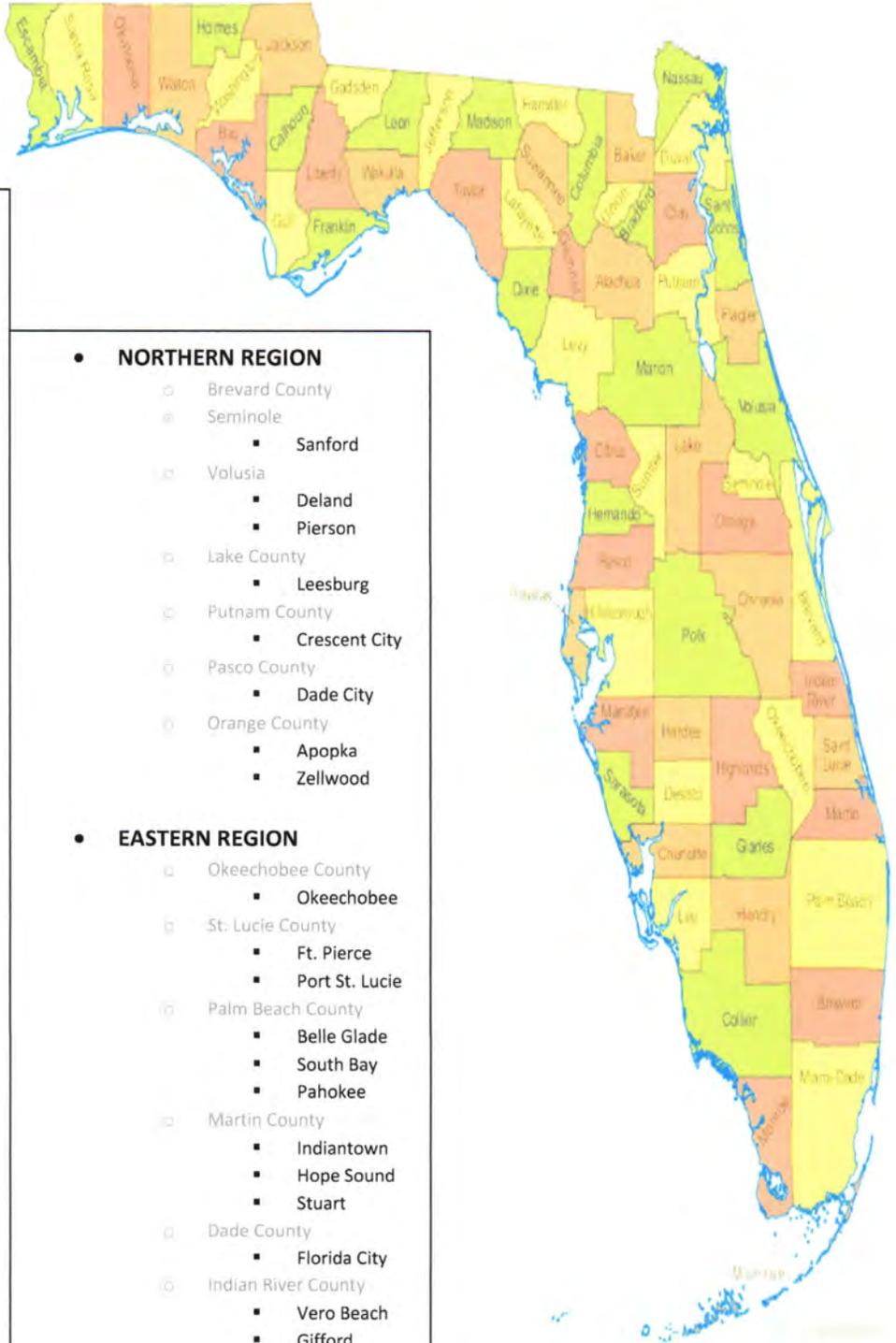
**Section 7** If requested by the Board of Directors, the Regional Advisory Council shall recommend elected officials and local business/other representatives for consideration for appointment to the voting membership of the Board. The Board of Directors shall have the sole responsibility for making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

# Sample



## 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

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- ▶ Driving Policy 145
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- ▶ 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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## BACKGROUND SCREENING

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### 312 BACKGROUND SCREENING

#### I. Purpose

To clarify and expand the Agency's applicant and volunteer screening and evaluation process to ensure the ongoing protection of minor children (under 18 years of age) and the elderly who ALPI serves in its programs and operations. Employees/volunteers may be periodically screened.

#### II. Policy

All new and existing employees who work with children 18 years old and under and the elderly will have a criminal background check and other background information verified as a condition of employment and continued employment.

Any person who works with or serves children/elderly, background screening, 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, Chapters 435 and 430.

Non-instructional contractors and their employees, including but not limited to vendors, individuals or entities under contract with the organization who may have access to students/children/elderly are subject to background screening under the provisions of Florida Statutes, Sections 1012.465, 1012.467, and 1012.468 for children and Section 430.0402 for the elderly.

#### III. Procedure

##### Definitions

**Children** – Any person under the age of 18

**Elderly** – Any person 60 years of age and older.

##### Employee

Any person employed by ALPI, whether full- or part-time, that is required by law to be screened pursuant to the provisions of Florida Statutes, Chapter 435 for children and 430 for the elderly, and applicable existing agency policies and procedures.

##### Volunteer

Any person, eighteen years or older, parent, community worker, or other who participates in the work of the Agency, full-time or part-time, paid or unpaid, and provides more than 2 hours of service time daily or at least 10 hours per week working directly with children under the age of 18 or the elderly 60 years of age or older.

## **BACKGROUND SCREENING**

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### **Criminal History Check**

Verifying that the selected applicant or employee does not have any undisclosed criminal history in every jurisdiction where the applicant or employee currently resides or has resided.

### **Level 1 Background Screening**

The Florida Department of Law Enforcement will conduct a search of state and local records.

### **Level 2 Background Screening**

Security background investigations shall include, but not be limited to, fingerprinting for all purposes and checks statewide, criminal and juvenile 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.

#### **A. General Screening Standards**

1. All employees and/or volunteers required by law to be screened shall undergo background screenings as a condition of employment/volunteering and continued employment/volunteering and may be screened periodically.
2. Screenings shall include 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.
3. All applicants in the selection process and volunteers in positions for which employment screening is required must submit complete information necessary to conduct a screening and obtain clearance prior to the start of work.
4. 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, Chapters 430 and 435.
5. 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 terminated.

## **BACKGROUND SCREENING**

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### **B. Employee Screening**

1. State law requires a fingerprint criminal background check be done on all potential Child Care employees and employees working with the elderly through a local law enforcement agency.
2. Employees and potential applicants must be notified that a Level 2 criminal background check is required before they can begin work.
3. All employees who have as a part or all of their work assignment regular contact with the elderly or children under the age of 18 must have a background screening completed satisfactorily before they can begin work.

### **C. Volunteer Screening**

1. All volunteers with a service assignment in part or in whole involving regular contact with the elderly or children under the age of 18 must have a background screening completed satisfactorily before beginning work. Volunteers may be periodically screened.
2. Management must notify a potential volunteer that a criminal background check is necessary before anyone will be allowed to work with children or the elderly. Each must submit required information to complete the background screening.
3. If a volunteer has no convictions that would prevent him or her from serving with children or the elderly, the volunteer will be notified and appropriately assigned to duty.
4. If a volunteer has a disqualifying conviction(s) in accordance with Florida Statutes, Chapters 430 or 435, the volunteer will not be re-instated or hired and will be notified in writing by the Human Resources Director stating the specific record, which indicates noncompliance.

### **D. Rechecks**

1. All employees and volunteers who continue to have regular contact with the elderly or children, as part or all of their volunteer service assignments, must undergo a background screening when requested by the Agency.
2. Current employees who fail a background screening will be terminated and given notice in writing, stating the specific offense and violation or noncompliance including but not limited to the Florida Statutes, Chapters 430 and 435.

## **BACKGROUND SCREENING**

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### **E. Disqualifying Offenses**

1. Any individual convicted of a crime in accordance with the Florida Statutes Chapters 430 and 435, including those listed below is ineligible to participate in any ALPI volunteer service positions:
  - a. Conviction of any crime that results in the death of the victim.
  - b. Conviction of any crime involving sexual assault or 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 to distribute marijuana or narcotic drugs.
2. Employee guidelines in Chapters 430 and 435, Florida Statutes.

### **F. Appeals Process**

It is the responsibility of the effected employee to contest his or her disqualification or to request exemption from disqualification in accordance with the State statutes.

### **G. Authorization for Release of Background Information Form**

Prior to obtaining initial and updated background screening, employee/volunteer must sign the Privacy Policy Acknowledgement Form provided by the Care Provider Background Screening Clearinghouse. This form is found on the Clearinghouse website and must be sent to Human Resources with results of screening.



## RECRUITMENT

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### 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.

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**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

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### 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**

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4. The employee prepares time sheet and turns in all assigned agency property on the last day of work.

### **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.

### **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.



## **TERMINATIONS**

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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.

- 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



## **TERMINATIONS**

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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 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.
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

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### 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**

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**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.

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POLICIES AND PROCEDURES MANUAL

POLICY NO: 140  
EFF. DATE: 10-24-87  
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## 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;

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- 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.

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### **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.

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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.



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

POLICY NO: 145  
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### 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.



## DRIVING PERSONAL VEHICLES ON AGENCY BUSINESS

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### 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**

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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**

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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

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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

# FISCAL POLICIES AND PROCEDURES (TOC)

Rev. 2013

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## CODE OF CONDUCT

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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.

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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.

# PURCHASING AND PROCUREMENT

## 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:

| <b>Copy</b> | <b>to</b>     | <b>Use</b>                                                                                                                                                            |
|-------------|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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**  
**(revised 2013)**

(Revised 11/2013)

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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:

| <b>TRAVELER</b>                    | <b>REQUEST SUBMITTED TO</b>                          | <b>AUTHORIZED BY</b>    |
|------------------------------------|------------------------------------------------------|-------------------------|
| 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

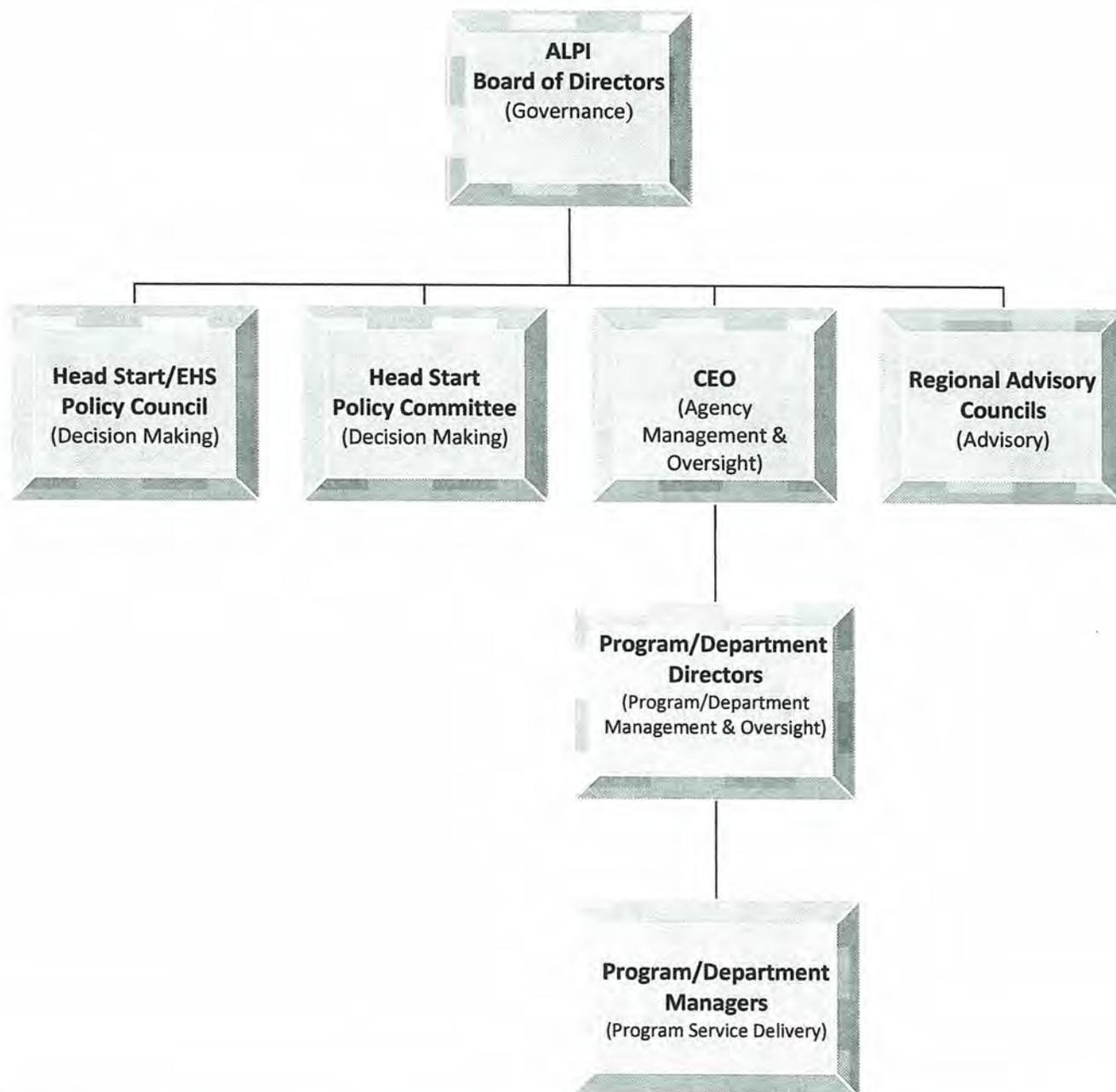
Councils to the organization serve important functions, and although their purposes may vary according to the mission of the organization, they are vital to the success of the organization. Councils: (1) are good will ambassadors, (2) are knowledgeable about the missions of the organization, (3) support 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 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.

**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.



## 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

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## THE EDITIONS OF THIS MANUAL

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|                |               |   |                                                                                                                                                   |
|----------------|---------------|---|---------------------------------------------------------------------------------------------------------------------------------------------------|
| First Edition  | February 1876 | } | <b>POCKET MANUAL OF<br/>RULES OF ORDER<br/>FOR DELIBERATIVE<br/>ASSEMBLIES</b><br><br>(Cover short title:<br><b>ROBERT'S RULES<br/>OF ORDER</b> ) |
| Second Edition | July 1876     |   |                                                                                                                                                   |
| Third Edition  | 1893          |   |                                                                                                                                                   |

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|                                                                  |      |   |                                            |
|------------------------------------------------------------------|------|---|--------------------------------------------|
| Fourth Edition                                                   | 1915 | } | <b>ROBERT'S RULES<br/>OF ORDER REVISED</b> |
| (Completely reworked and 75 percent enlarged by original author) |      |   |                                            |
| Fifth Edition                                                    | 1943 |   |                                            |
| Sixth Edition                                                    | 1951 |   |                                            |
| (*Seventy-Fifth Anniversary*)                                    |      |   |                                            |

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|                                                                                                 |      |   |                                                      |
|-------------------------------------------------------------------------------------------------|------|---|------------------------------------------------------|
| Seventh Edition                                                                                 | 1970 | } | <b>ROBERT'S RULES<br/>OF ORDER<br/>NEWLY REVISED</b> |
| (Enlarged more than twofold and totally recast to be made self-explanatory)                     |      |   |                                                      |
| Eighth Edition                                                                                  | 1981 |   |                                                      |
| Ninth Edition                                                                                   | 1990 |   |                                                      |
| <b>TENTH EDITION</b>                                                                            | 2000 |   |                                                      |
| (*Millennium.* Thoroughly re-edited to refine conceptual clarity and consistency of statement.) |      |   |                                                      |

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**Inclusive of Robert's Rules of Order and Robert's Rules of Order Revised more than Five Million copies in print**

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## 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.

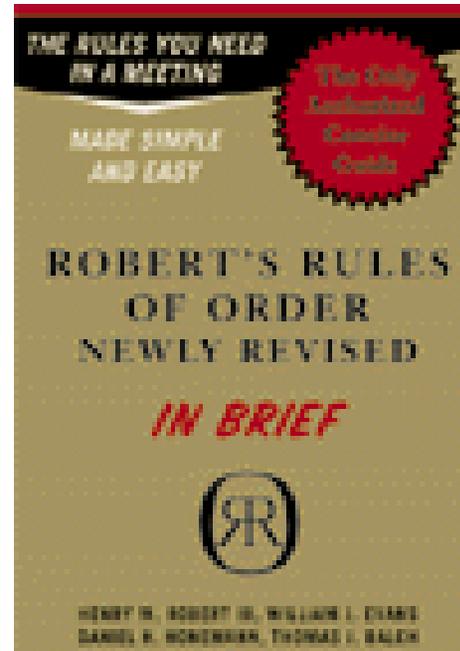
- Motion to Table -- This motion is often used in the attempt to "kill" a motion. The option is always present, however, to "take from the table", for reconsideration by the membership.
- Motion to Postpone Indefinitely -- This is often used as a means of parliamentary strategy and allows opponents of 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

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

## NEWS RELEASES AND PUBLIC INFORMATION

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### 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.

News releases and media should be release from the Chief Executive Officer unless otherwise 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

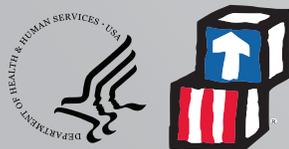
Written or Verbal Statements

All written or verbal statements released to the media on behalf of ALPI 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  
RIN 0970-AC63

Department of Health and Human Services  
Administration for Children and Families





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For the reasons set forth in the preamble, under the authority at 42 U.S.C. 9801 *et seq.*, subchapter B of 45 CFR chapter XIII is revised to read as follows:

## Subchapter B — The Administration for Children and Families, Head Start Program

Part 1301 — Program Governance

Part 1302 — Program Operations

Part 1303 — Financial and Administrative Requirements

Part 1304 — Federal Administrative Procedures

Part 1305 — Definitions

### Part 1301 — Program Governance

Sec.

- 1301.1 Purpose.
- 1301.2 Governing body.
- 1301.3 Policy council and policy committee.
- 1301.4 Parent committees.
- 1301.5 Training.
- 1301.6 Impasse procedures.

AUTHORITY: 42 U.S.C. 9801 *et seq.*

#### §1301.1 Purpose.

An agency, as defined in part 1305 of this chapter, must establish and maintain a formal structure for program governance that includes a governing body, a policy council at the agency level and policy committee at the delegate level, and a parent committee. Governing bodies have a legal and fiscal responsibility to administer and oversee the agency's Head Start and Early Head Start programs. Policy councils are responsible for the direction of the agency's Head Start and Early Head Start programs.

#### §1301.2 Governing body.

(a) Composition. The composition of a governing body must be in accordance with the requirements specified at section 642(c)(1)(B) of the Act, except where specific exceptions are authorized in the case of public entities at section 642(c)(1)(D) of the Act. Agencies must ensure members of the governing body do not have a conflict of interest, pursuant to section 642(c)(1)(C) of the Act.

(b) Duties and responsibilities.

- (1) The governing body is responsible for activities specified at section 642(c)(1)(E) of the Act.
- (2) The governing body must use ongoing monitoring results, data on school readiness goals,

other information described in §1302.102, and information described at section 642(d)(2) of the Act to conduct its responsibilities.

(c) Advisory committees.

- (1) A governing body may establish advisory committees as it deems necessary for effective governance and improvement of the program.
- (2) If a governing body establishes an advisory committee to oversee key responsibilities related to program governance, it must:
  - (i) Establish the structure, communication, and oversight in such a way that the governing body continues to maintain its legal and fiscal responsibility for the Head Start agency; and,
  - (ii) Notify the responsible HHS official of its intent to establish such an advisory committee.

### **§1301.3 Policy council and policy committee.**

(a) Establishing policy councils and policy committees. Each agency must establish and maintain a policy council responsible for the direction of the Head Start program at the agency level, and a policy committee at the delegate level. If an agency delegates operational responsibility for the entire Head Start or Early Head Start program to one delegate agency, the policy council and policy committee may be the same body.

(b) Composition.

- (1) A program must establish a policy council in accordance with section 642(c)(2)(B) of the Act, or a policy committee at the delegate level in accordance with section 642(c)(3) of the Act, as early in the program year as possible. Parents of children currently enrolled in each program option must be proportionately represented on the policy council and on the policy committee at the delegate level.
- (2) The program must ensure members of the policy council, and of the policy committee at the delegate level, do not have a conflict of interest pursuant to sections 642(c)(2)(C) and 642(c)(3)(B) of the Act. Staff may not serve on the policy council or policy committee at the delegate level except parents who occasionally substitute as 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 administrative, fiscal, or programmatic issues.

(c) Duties and responsibilities.

- (1) A policy council is responsible for activities specified at section 642(c)(2)(D) of the Act. A policy committee must approve and submit to the delegate agency its decisions in each of the following areas referenced at section 642(c)(2)(D)(i) through (vii) of the Act.
- (2) A policy council, and a policy committee at the delegate level, must use ongoing monitoring results, data on school readiness goals, other information described in §1302.102, and information described in section 642(d)(2) of the Act to conduct its responsibilities.

(d) Term.

- (1) A member will serve for one year.
- (2) If the member intends to serve for another year, s/he must stand for re-election.
- (3) The policy council, and policy committee at the delegate level, must include in its bylaws how many one-year terms, not to exceed five terms, a person may serve.
- (4) A program must seat a successor policy council, or policy committee at the delegate level, before an existing policy council, or policy committee at the delegate level, may be dissolved.

(e) Reimbursement. A program must enable low-income members to participate fully in their policy council or policy committee responsibilities by providing, if necessary, reimbursements for reasonable expenses incurred by the low-income members.

**§1301.4 Parent committees.**

(a) Establishing parent committees. A program must establish a parent committee comprised exclusively of parents of currently enrolled children as early in the program year as possible. This committee must be established at the center level for center-based programs and at the local program level for other program options. When a program operates more than one option, parents may choose to have a separate committee for each option or combine membership. A program must ensure that parents of currently enrolled children understand the process for elections to the policy council or policy committee and other leadership opportunities.

(b) Requirements of parent committees. Within the parent committee structure, a program may determine the best methods to engage families using strategies that are most effective in their community, as long as the program ensures the parent committee carries out the following minimum responsibilities:

- (1) Advise staff in developing and implementing local program policies, activities, and services to ensure they meet the needs of children and families;
- (2) Have a process for communication with the policy council and policy committee; 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.

**§1301.5 Training.**

An agency must provide appropriate training and technical assistance or orientation to the governing body, any advisory committee members, and the policy council, including training on program performance standards and training indicated in §1302.12(m) to ensure the members understand the information they receive and can effectively oversee and participate in the programs in the Head Start agency.

## §1301.6 Impasse procedures.

(a) To facilitate meaningful consultation and collaboration about decisions of the governing body and the policy council, each agency's governing body and policy council jointly must establish written procedures for resolving internal disputes between the governing board and policy council in a timely manner that include impasse procedures. These procedures must:

- (1) Demonstrate that the governing body considers proposed decisions from the policy council and that the policy council considers proposed decisions from the governing body;
- (2) If there is a disagreement, require the governing body and the policy council to notify the other in writing why it does not accept a decision; and,
- (3) Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal.

(b) If the agency's decision-making process does not result in a resolution and an impasse continues, the governing body and policy council must select a mutually agreeable third party mediator and participate in a formal process of mediation that leads to a resolution of the dispute.

(c) For all programs except American Indian and Alaska Native programs, if no resolution is reached with a mediator, the governing body and policy council must select a mutually agreeable arbitrator whose decision is final.

## Part 1302 — Program Operations

Sec.

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- 1302.31 Teaching and the learning environment.
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- 1302.41 Collaboration and communication with parents.
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- 1302.50 Family engagement.
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- 1302.60 Full participation in program services and activities.
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- 1302.70 Transitions from Early Head Start.
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#### **Subpart H — Services to Enrolled Pregnant Women**

- 1302.80 Enrolled pregnant women.
- 1302.81 Prenatal and postpartum information, education, and services.
- 1302.82 Family partnership services for enrolled pregnant women.

#### **Subpart I — Human Resources Management**

- 1302.90 Personnel policies.
- 1302.91 Staff qualification and competency requirements.
- 1302.92 Training and professional development.
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## §1302.1

1302.94 Volunteers.

### **Subpart J — Program Management and Quality Improvement**

1302.100 Purpose.

1302.101 Management system.

1302.102 Achieving program goals.

1302.103 Implementation of program performance standards.

AUTHORITY: 42 U.S.C. 9801 *et seq.*

## **§1302.1 Overview.**

This part implements these statutory requirements in Sections 641A, 645, 645A, and 648A of the Act by describing all of the program performance standards that are required to operate Head Start, Early Head Start, American Indian and Alaska Native and Migrant or Seasonal Head Start programs. The part covers the full range of operations from enrolling eligible children and providing program services to those children and their families, to managing programs to ensure staff are qualified and supported to effectively provide services. This part also focuses on using data through ongoing program improvement to ensure high-quality service. As required in the Act, these provisions do not narrow the scope or quality of services covered in previous regulations. Instead, these regulations raise the quality standard to reflect science and best practices, and streamline and simplify requirements so programs can better understand what is required for quality services.

## **Subpart A — Eligibility, Recruitment, Selection, Enrollment, and Attendance**

### **§1302.10 Purpose.**

This subpart describes requirements of grantees for determining community strengths, needs and resources as well as recruitment areas. It contains requirements and procedures for the eligibility determination, recruitment, selection, enrollment and attendance of children and explains the policy concerning the charging of fees.

### **§1302.11 Determining community strengths, needs, and resources.**

(a) Service area.

(1) A program must propose a service area in the grant application and define the area by county or sub-county area, such as a municipality, town or census tract or jurisdiction of a federally recognized Indian reservation.

(i) A tribal program may propose a service area that includes areas where members of Indian tribes or those eligible for such membership reside, including but not limited to Indian reservation land, areas designated as near-reservation by the Bureau of Indian Affairs (BIA) provided that the service area is approved by the tribe's governing council, Alaska Native Villages, Alaska Native Regional Corporations with land-based authorities,

Oklahoma Tribal Statistical Areas, and Tribal Designated Statistical Areas where federally recognized Indian tribes do not have a federally established reservation.

(ii) If the tribe's service area includes any area specified in paragraph (a)(1)(i) of this section, and that area is also served by another program, the tribe may serve children from families who are members of or eligible to be members of such tribe and who reside in such areas as well as children from families who are not members of the tribe, but who reside within the tribe's established service area.

(2) If a program decides to change the service area after ACF has approved its grant application, the program must submit to ACF a new service area proposal for approval.

(b) Community wide strategic planning and needs assessment (community assessment).

(1) To design a program that meets community needs, and builds on strengths and resources, a program must conduct a community assessment at least once over the five-year grant period. The community assessment must use data that describes community strengths, needs, and resources and include, at a minimum:

(i) The number of eligible infants, toddlers, preschool age children, and expectant mothers, including their geographic location, race, ethnicity, and languages they speak, including:

(A) Children experiencing homelessness in collaboration with, to the extent possible, McKinney-Vento Local Education Agency Liaisons (42 U.S.C. 11432 (6)(A));

(B) Children in foster care; and

(C) Children with disabilities, including types of disabilities and relevant services and resources provided to these children by community agencies;

(ii) The education, health, nutrition and social service needs of eligible children and their families, including prevalent social or economic factors that impact their well-being;

(iii) Typical work, school, and training schedules of parents with eligible children;

(iv) Other child development, child care centers, and family child care programs that serve eligible children, including home visiting, publicly funded state and local pre-schools, and the approximate number of eligible children served;

(v) Resources that are available in the community to address the needs of eligible children and their families; and,

(vi) Strengths of the community.

(2) A program must annually review and update the community assessment to reflect any significant changes including increased availability of publicly-funded pre-kindergarten (including an assessment of how the pre-kindergarten available in the community meets the needs of the parents and children served by the program, and whether it is offered for a full school day), rates of family and child homelessness, and significant shifts in community demographics and resources.

(3) A program must consider whether the characteristics of the community allow it to include children from diverse economic backgrounds that would be supported by other funding sources, including private pay, in addition to the program's eligible funded enrollment. A program must not enroll children from diverse economic backgrounds if it would result in a program serving less than its eligible funded enrollment.

## **§1302.12 Determining, verifying, and documenting eligibility.**

### (a) Process overview.

(1) Program staff must:

- (i) Conduct an in-person interview with each family, unless paragraph (a)(2) of this section applies;
- (ii) Verify information as required in paragraphs (h) and (i) of this section; and,
- (iii) Create an eligibility determination record for enrolled participants according to paragraph (k) of this section.

(2) Program staff may interview the family over the telephone if an in-person interview is not possible or convenient for the family.

(3) If a program has an alternate method to reasonably determine eligibility based on its community assessment, geographic and administrative data, or from other reliable data sources, it may petition the responsible HHS official to waive requirements in paragraphs (a)(1)(i) and (ii) of this section.

### (b) Age requirements.

(1) For Early Head Start, except when the child is transitioning to Head Start, a child must be an infant or a toddler younger than three years old.

(2) For Head Start, a child must:

- (i) Be at least three years old or, turn three years old by the date used to determine eligibility for public school in the community in which the Head Start program is located; and,
- (ii) Be no older than the age required to attend school.

(3) For Migrant or Seasonal Head Start, a child must be younger than compulsory school age by the date used to determine public school eligibility for the community in which the program is located.

### (c) Eligibility requirements.

(1) A pregnant woman or a child is eligible if:

- (i) The family's income is equal to or below the poverty line; or,

- (ii) The family is eligible for or, in the absence of child care, would be potentially eligible for public assistance; including TANF child-only payments; or,
- (iii) The child is homeless, as defined in part 1305; or,
- (iv) The child is in foster care.

(2) If the family does not meet a criterion under paragraph (c)(1) of this section, a program may enroll a child who would benefit from services, provided that these participants only make up to 10 percent of a program's enrollment in accordance with paragraph (d) of this section.

(d) Additional allowances for programs.

(1) A program may enroll an additional 35 percent of participants whose families do not meet a criterion described in paragraph (c) of this section and whose incomes are below 130 percent of the poverty line, if the program:

- (i) Establishes and implements outreach, and enrollment policies and procedures to ensure it is meeting the needs of eligible pregnant women, children, and children with disabilities, before serving pregnant women or children who do not meet the criteria in paragraph (c) of this section; and,
- (ii) Establishes criteria that ensure pregnant women and children eligible under the criteria listed in paragraph (c) of this section are served first.

(2) If a program chooses to enroll participants who do not meet a criterion in paragraph (c) of this section, and whose family incomes are between 100 and 130 percent of the poverty line, it must be able to report to the Head Start regional program office:

- (i) How it is meeting the needs of low-income families or families potentially eligible for public assistance, homeless children, and children in foster care, and include local demographic data on these populations;
- (ii) Outreach and enrollment policies and procedures that ensure it is meeting the needs of eligible children or pregnant women, before serving over-income children or pregnant women;
- (iii) Efforts, including outreach, to be fully enrolled with eligible pregnant women or children;
- (iv) Policies, procedures, and selection criteria it uses to serve eligible children;
- (v) Its current enrollment and its enrollment for the previous year;
- (vi) The number of pregnant women and children served, disaggregated by the eligibility criteria in paragraphs (c) and (d)(1) of this section; and,
- (vii) The eligibility criteria category of each child on the program's waiting list.

(e) Additional allowances for Indian tribes.

(1) Notwithstanding paragraph (c)(2) of this section, a tribal program may fill more than 10

percent of its enrollment with participants who are not eligible under the criteria in paragraph (c) of this section, if:

- (i) The tribal program has served all eligible pregnant women or children who wish to be enrolled from Indian and non-Indian families living within the approved service area of the tribal agency;
  - (ii) The tribe has resources within its grant, without using additional funds from HHS intended to expand Early Head Start or Head Start services, to enroll pregnant women or children whose family incomes exceed low-income guidelines or who are not otherwise eligible; and,
  - (iii) At least 51 percent of the program's participants meet an eligibility criterion under paragraph (c)(1) of this section.
- (2) If another program does not serve the approved service area, the program must serve all eligible Indian and non-Indian pregnant women or children who wish to enroll before serving over-income pregnant women or children.
- (3) A program that meets the conditions of this paragraph (e) must annually set criteria that are approved by the policy council and the tribal council for selecting over-income pregnant women or children who would benefit from program services.
- (4) An Indian tribe or tribes that operates both an Early Head Start program 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 may not serve as a basis for any reduction of the base grant for either program in succeeding years.

(f) Migrant or Seasonal eligibility requirements. A child is eligible for Migrant or Seasonal Head Start, if the family meets an eligibility criterion in paragraphs (c) and (d) of this section; and the family's income comes primarily from agricultural work.

(g) Eligibility requirements for communities with 1,000 or fewer individuals.

(1) A program may establish its own criteria for eligibility provided that it meets the criteria outlined in section 645(a)(2) of the Act.

(2) No child residing in such community whose family is eligible under criteria described in paragraphs (c) through (f) of this section, may be denied an opportunity to participate in the program under the eligibility criteria established under this paragraph (g).

(h) Verifying age. Program staff must verify a child's age according to program policies and procedures. A program's policies and procedures cannot require families to provide documents that confirm a child's age, if doing so creates a barrier for the family to enroll the child.

(i) Verifying eligibility.

(1) To verify eligibility based on income, program staff must use tax forms, pay stubs, or other proof of income to determine the family income for the relevant time period.

(i) If the family cannot provide tax forms, pay stubs, or other proof of income for the relevant time period, program staff may accept written statements from employers, including individuals who are self-employed, for the relevant time period and use information provided to calculate total annual income with appropriate multipliers.

(ii) If the family reports no income for the relevant time period, a program may accept the family's signed declaration to that effect, if program staff describes efforts made to verify the family's income, and explains how the family's total income was calculated or seeks information from third parties about the family's eligibility, if the family gives written consent. If a family gives consent to contact third parties, program staff must adhere to program safety and privacy policies and procedures and ensure the eligibility determination record adheres to paragraph (k)(2) of this section.

(iii) If the family can demonstrate a significant change in income for the relevant time period, program staff may consider current income circumstances.

(2) To verify whether a family is eligible for, or in the absence of child care, would be potentially eligible for public assistance, the program must have documentation from either the state, local, or tribal public assistance agency that shows the family either receives public assistance or that shows the family is potentially eligible to receive public assistance.

(3) To verify whether a family is homeless, a program may accept a written statement from a homeless services provider, school personnel, or other service agency attesting that the child is homeless or any other documentation that indicates homelessness, including documentation from a public or private agency, a declaration, information gathered on enrollment or application forms, or notes from an interview with staff to establish the child is homeless; or any other document that establishes homelessness.

(i) If a family can provide one of the documents described in this paragraph (i)(3), program staff must describe efforts made to verify the accuracy of the information provided and state whether the family is eligible because they are homeless.

(ii) If a family cannot provide one of the documents described in this paragraph (i)(3) to prove the child is homeless, a program may accept the family's signed declaration to that effect, if, in a written statement, program staff describe the child's living situation that meets the definition of homeless in part 1305 of this chapter.

(iii) Program staff may seek information from third parties who have firsthand knowledge about a family's living situation, if the family gives written consent. If the family gives consent to contact third parties, program staff must adhere to program privacy policies and procedures and ensure the eligibility determination record adheres to paragraph (k) of this section.

(4) To verify whether a child is in foster care, program staff must accept either a court order or other legal or government-issued document, a written statement from a government child welfare official that demonstrates the child is in foster care, or proof of a foster care payment.

(j) Eligibility duration.

- (1) If a child is determined eligible under this section and is participating in a Head Start program, he or she will remain eligible through the end of the succeeding program year except that the Head Start program may choose not to enroll a child when there are compelling reasons for the child not to remain in Head Start, such as when there is a change in the child's family income and there is a child with a greater need for Head Start services.
- (2) Children who are enrolled in a program receiving funds under the authority of section 645A of the Act remain eligible while they participate in the program.
- (3) If a child moves from an Early Head Start program to a Head Start program, program staff must verify the family's eligibility again.
- (4) If a program operates both an Early Head Start and a Head Start program, and the parents wish to enroll their child who has been enrolled in the program's Early Head Start, the program must ensure, whenever possible, the child receives Head Start services until enrolled in school, provided the child is eligible.

(k) Records.

- (1) A program must keep eligibility determination records for each participant and ongoing records of the eligibility training for staff required by paragraph (m) of this section. A program may keep these records electronically.
- (2) Each eligibility determination record must include:
  - (i) Copies of any documents or statements, including declarations, that are deemed necessary to verify eligibility under paragraphs (h) and (i) of this section;
  - (ii) A statement that program staff has made reasonable efforts to verify information by:
    - (A) Conducting either an in-person, or a telephone interview with the family as described under paragraph (a)(1)(i) or (a)(2) of this section; and,
    - (B) Describing efforts made to verify eligibility, as required under paragraphs (h) through (i) of this section; and, collecting documents required for third party verification that includes the family's written consent to contact each third party, the third parties' names, titles, and affiliations, and information from third parties regarding the family's eligibility.
  - (iii) A statement that identifies whether:
    - (A) The family's income is below income guidelines for its size, and lists the family's size;
    - (B) The family is eligible for or, in the absence of child care, potentially eligible for public assistance;
    - (C) The child is a homeless child or the child is in foster care;

(D) The family was determined to be eligible under the criterion in paragraph (c)(2) of this section; or,

(E) The family was determined to be eligible under the criterion in paragraph (d)(1) of this section.

(3) A program must keep eligibility determination records for those currently enrolled, as long as they are enrolled, and, for one year after they have either stopped receiving services; or are no longer enrolled.

(l) Program policies and procedures on violating eligibility determination regulations. A program must establish written policies and procedures that describe all actions taken against staff who intentionally violate federal and program eligibility determination regulations and who enroll pregnant women and children that are not eligible to receive Early Head Start or Head Start services.

(m) Training on eligibility.

(1) A program must train all governing body, policy council, management, and staff who determine eligibility on applicable federal regulations and program policies and procedures. Training must, at a minimum:

(i) Include methods on how to collect complete and accurate eligibility information from families and third party sources;

(ii) Incorporate strategies for treating families with dignity and respect and for dealing with possible issues of domestic violence, stigma, and privacy; and,

(iii) Explain program policies and procedures that describe actions taken against staff, families, or participants who attempt to provide or intentionally provide false information.

(2) A program must train management and staff members who make eligibility determinations within 90 days of hiring new staff.

(3) A program must train all governing body and policy council members within 180 days of the beginning of the term of a new governing body or policy council.

(4) A program must develop policies on how often training will be provided after the initial training.

### **§1302.13 Recruitment of children.**

In order to reach those most in need of services, a program must develop and implement a recruitment process designed to actively inform all families with eligible children within the recruitment area of the availability of program services, and encourage and assist them in applying for admission to the program. A program must include specific efforts to actively locate and recruit children with disabilities and other vulnerable children, including homeless children and children in foster care.

## §1302.14 Selection process.

### (a) Selection criteria.

(1) A program must annually establish selection criteria that weigh the prioritization of selection of participants, based on community needs identified in the community needs assessment as described in §1302.11(b), and including family income, whether the child is homeless, whether the child is in foster care, the child's age, whether the child is eligible for special education and related services, or early intervention services, as appropriate, as determined under the Individuals with Disabilities Education Act (IDEA) (20 U.S.C. 1400 *et seq.*) and, other relevant family or child risk factors.

(2) If a program serves migrant or seasonal families, it must select participants according to criteria in paragraph (a)(1) of this section, and give priority to children whose families can demonstrate they have relocated frequently within the past two-years to pursue agricultural work.

(3) If a program operates in a service area where Head Start eligible children can enroll in high-quality publicly funded pre-kindergarten for a full school day, the program must prioritize younger children as part of the selection criteria in paragraph (a)(1) of this section. If this priority would disrupt partnerships with local education agencies, then it is not required. An American Indian and Alaska Native or Migrant or Seasonal Head Start program must consider whether such prioritization is appropriate in their community.

(4) A program must not deny enrollment based on a disability or chronic health condition or its severity.

### (b) Children eligible for services under IDEA.

(1) A program must ensure at least 10 percent of its total funded enrollment is filled by children eligible for services under IDEA, unless the responsible HHS official grants a waiver.

(2) If the requirement in paragraph (b)(1) of this section has been met, children eligible for services under IDEA should be prioritized for the available slots in accordance with the program's selection criteria described in paragraph (a) of this section.

(c) Waiting lists. A program must develop at the beginning of each enrollment year and maintain during the year a waiting list that ranks children according to the program's selection criteria.

## §1302.15 Enrollment.

(a) Funded enrollment. A program must maintain its funded enrollment level and fill any vacancy as soon as possible. A program must fill any vacancy within 30 days.

### (b) Continuity of enrollment.

(1) A program must make efforts to maintain enrollment of eligible children for the following year.

(2) Under exceptional circumstances, a program may maintain a child's enrollment in Head

Start for a third year, provided that family income is verified again. A program may maintain a child's enrollment in Early Head Start as described in §1302.12(j)(2).

(3) If a program serves homeless children or children in foster care, it must make efforts to maintain the child's enrollment regardless of whether the family or child moves to a different service area, or transition the child to a program in a different service area, as required in §1302.72(a), according to the family's needs.

(c) Reserved slots. If a program determines from the community assessment there are families experiencing homelessness in the area, or children in foster care that could benefit from services, the program may reserve one or more enrollment slots for pregnant women and children experiencing homelessness and children in foster care, when a vacancy occurs. No more than three percent of a program's funded enrollment slots may be reserved. If the reserved enrollment slot is not filled within 30 days, the enrollment slot becomes vacant and then must be filled in accordance with paragraph (a) of this section.

(d) Other enrollment. Children from diverse economic backgrounds who are funded with other sources, including private pay, are not considered part of a program's eligible funded enrollment.

(e) State immunization enrollment requirements. A program must comply with state immunization enrollment and attendance requirements, with the exception of homeless children as described in §1302.16(c)(1).

(f) Voluntary parent participation. Parent participation in any program activity is voluntary, including consent for data sharing, and is not required as a condition of the child's enrollment.

## **§1302.16 Attendance.**

(a) Promoting regular attendance. A program must track attendance for each child.

(1) A program must implement a process to ensure children are safe when they do not arrive at school. If a child is unexpectedly absent and a parent has not contacted the program within one hour of program start time, the program must attempt to contact the parent to ensure the child's well-being.

(2) A program must implement strategies to promote attendance. At a minimum, a program must:

(i) Provide information about the benefits of regular attendance;

(ii) Support families to promote the child's regular attendance;

(iii) Conduct a home visit or make other direct contact with a child's parents if a child has multiple unexplained absences (such as two consecutive unexplained absences); and,

(iv) Within the first 60 days of program operation, and on an ongoing basis thereafter, use individual child attendance data to identify children with patterns of absence that put them at risk of missing ten percent of program days per year and develop appropriate strategies to improve individual attendance among identified children, such as direct contact with parents or intensive case management, as necessary.

(3) If a child ceases to attend, the program must make appropriate efforts to reengage the family to resume attendance, including as described in paragraph (a)(2) of this section. If the child's attendance does not resume, then the program must consider that slot vacant. This action is not considered expulsion as described in §1302.17.

(b) Managing systematic program attendance issues. If a program's monthly average daily attendance rate falls below 85 percent, the program must analyze the causes of absenteeism to identify any systematic issues that contribute to the program's absentee rate. The program must use this data to make necessary changes in a timely manner as part of ongoing oversight and correction as described in §1302.102(b) and inform its continuous improvement efforts as described in §1302.102(c).

(c) Supporting attendance of homeless children.

(1) If a program determines a child is eligible under §1302.12(c)(1)(iii), it must allow the child to attend for up to 90 days or as long as allowed under state licensing requirements, without immunization and other records, to give the family reasonable time to present these documents. A program must work with families to get children immunized as soon as possible in order to comply with state licensing requirements.

(2) If a child experiencing homelessness is unable to attend classes regularly because the family does not have transportation to and from the program facility, the program must utilize community resources, where possible, to provide transportation for the child.

## §1302.17 Suspension and expulsion.

(a) Limitations on suspension.

(1) A program must prohibit or severely limit the use of suspension due to a child's behavior. Such suspensions may only be temporary in nature.

(2) A temporary suspension must be used only as a last resort in extraordinary circumstances where there is a serious safety threat that cannot be reduced or eliminated by the provision of reasonable modifications.

(3) Before a program determines whether a temporary suspension is necessary, a program must engage with a mental health consultant, collaborate with the parents, and utilize appropriate community resources – such as behavior coaches, psychologists, other appropriate specialists, or other resources – as needed, to determine no other reasonable option is appropriate.

(4) If a temporary suspension is deemed necessary, a program must help the child return to full participation in all program activities as quickly as possible while ensuring child safety by:

- (i) Continuing to engage with the parents and a mental health consultant, and continuing to utilize appropriate community resources;
- (ii) Developing a written plan to document the action and supports needed;
- (iii) Providing services that include home visits; and,

(iv) Determining whether a referral to a local agency responsible for implementing IDEA is appropriate.

(b) Prohibition on expulsion.

- (1) A program cannot expel or unenroll a child from Head Start because of a child's behavior.
- (2) When a child exhibits persistent and serious challenging behaviors, a program must explore all possible steps and document all steps taken to address such problems, and facilitate the child's safe participation in the program. Such steps must include, at a minimum, engaging a mental health consultant, considering the appropriateness of providing appropriate services and supports under section 504 of the Rehabilitation Act to ensure that the child who satisfies the definition of disability in 29 U.S.C. 705(9)(b) of the Rehabilitation Act is not excluded from the program on the basis of disability, and consulting with the parents and the child's teacher, and:
  - (i) If the child has an individualized family service plan (IFSP) or individualized education program (IEP), the program must consult with the agency responsible for the IFSP or IEP to ensure the child receives the needed support services; or,
  - (ii) If the child does not have an IFSP or IEP, the program must collaborate, with parental consent, with the local agency responsible for implementing IDEA to determine the child's eligibility for services.
- (3) If, after a program has explored all possible steps and documented all steps taken as described in paragraph (b)(2) of this section, a program, in consultation with the parents, the child's teacher, the agency responsible for implementing IDEA (if applicable), and the mental health consultant, determines that the child's continued enrollment presents a continued serious safety threat to the child or other enrolled children and determines the program is not the most appropriate placement for the child, the program must work with such entities to directly facilitate the transition of the child to a more appropriate placement.

## §1302.18 Fees.

(a) Policy on fees. A program must not charge eligible families a fee to participate in Head Start, including special events such as field trips, and cannot in any way condition an eligible child's enrollment or participation in the program upon the payment of a fee.

(b) Allowable fees.

- (1) A program must only accept a fee from families of enrolled children for services that are in addition to services funded by Head Start, such as child care before or after funded Head Start hours. A program may not condition a Head Start child's enrollment on the ability to pay a fee for additional hours.
- (2) In order to support programs serving children from diverse economic backgrounds or using multiple funding sources, a program may charge fees to private pay families and other non-Head Start enrolled families to the extent allowed by any other applicable federal, state or local funding sources.

## Subpart B — Program Structure

### §1302.20 Determining program structure.

(a) Choose a program option.

(1) A program must choose to operate one or more of the following program options: center-based, home-based, family child care, or an approved locally-designed variation as described in §1302.24. The program option(s) chosen must meet the needs of children and families based on the community assessment described in §1302.11(b). A Head Start program serving preschool-aged children may not provide only the option described in §1302.22(a) and (c)(2).

(2) To choose a program option and develop a program calendar, a program must consider in conjunction with the annual review of the community assessment described in §1302.11(b)(2), whether it would better meet child and family needs through conversion of existing slots to full school day or full working day slots, extending the program year, conversion of existing Head Start slots to Early Head Start slots as described in paragraph (c) of this section, and ways to promote continuity of care and services. A program must work to identify alternate sources to support full working day services. If no additional funding is available, program resources may be used.

(b) Comprehensive services. All program options must deliver the full range of services, as described in subparts C, D, E, F, and G of this part, except that §§1302.30 through 1302.32 and §1302.34 do not apply to home-based options.

(c) Conversion.

(1) Consistent with section 645(a)(5) of the Head Start Act, grantees may request to convert Head Start slots to Early Head Start slots through the re-funding application process or as a separate grant amendment.

(2) Any grantee proposing a conversion of Head Start services to Early Head Start services must obtain policy council and governing body approval and submit the request to their regional office.

(3) With the exception of American Indian and Alaska Native grantees as described in paragraph (c)(4) of this section, the request to the regional office must include:

(i) A grant application budget and a budget narrative that clearly identifies the funding amount for the Head Start and Early Head Start programs before and after the proposed conversion;

(ii) The results of the community assessment demonstrating how the proposed use of funds would best meet the needs of the community, including a description of how the needs of eligible Head Start children will be met in the community when the conversion takes places;

- (iii) A revised program schedule that describes the program option(s) and the number of funded enrollment slots for Head Start and Early Head Start programs before and after the proposed conversion;
  - (iv) A description of how the needs of pregnant women, infants, and toddlers will be addressed;
  - (v) A discussion of the agency's capacity to carry out an effective Early Head Start program in accordance with the requirements of section 645A(b) of the Head Start Act and all applicable regulations;
  - (vi) Assurances that the agency will participate in training and technical assistance activities required of all Early Head Start grantees;
  - (vii) A discussion of the qualifications and competencies of the child development staff proposed for the Early Head Start program, as well as a description of the facilities and program infrastructure that will be used to support the new or expanded Early Head Start program;
  - (viii) A discussion of any one-time funding necessary to implement the proposed conversion and how the agency intends to secure such funding; and,
  - (ix) The proposed timetable for implementing this conversion, including updating school readiness goals as described in subpart J of this part.
- (4) Consistent with section 645(d)(3) of the Act, any American Indian and Alaska Native grantee that operates both an Early Head Start program and a Head Start program may reallocate funds between the programs at its discretion and at any time during the grant period involved, in order to address fluctuations in client populations. An American Indian and Alaska Native program that exercises this discretion must notify the regional office.

(d) Source of funding. A program may consider hours of service that meet the Head Start Program Performance Standards, regardless of the source of funding, as hours of planned class operations for the purposes of meeting the Head Start and Early Head Start service duration requirements in this subpart.

### **§1302.21 Center-based option.**

(a) Setting. The center-based option delivers the full range of services, consistent with §1302.20(b). Education and child development services are delivered primarily in classroom settings.

(b) Ratios and group size.

- (1) Staff-child ratios and group size maximums must be determined by the age of the majority of children and the needs of children present. A program must determine the age of the majority of children in a class at the start of the year and may adjust this determination during the program year, if necessary. Where state or local licensing requirements are more stringent than the teacher-child ratios and group size specifications in this section, a program must meet

the stricter requirements. A program must maintain appropriate ratios during all hours of program operation, except:

- (i) For brief absences of a teaching staff member for no more than five minutes; and,
  - (ii) During nap time, one teaching staff member may be replaced by one staff member or trained volunteer who does not meet the teaching qualifications required for the age.
- (2) An Early Head Start or Migrant or Seasonal Head Start class that serves children under 36 months old must have two teachers with no more than eight children, or three teachers with no more than nine children. Each teacher must be assigned consistent, primary responsibility for no more than four children to promote continuity of care for individual children. A program must minimize teacher changes throughout a child's enrollment, whenever possible, and consider mixed age group classes to support continuity of care.
- (3) A class that serves a majority of children who are three years old must have no more than 17 children with a teacher and teaching assistant or two teachers. A double session class that serves a majority of children who are three years old must have no more than 15 children with a teacher and teaching assistant or two teachers.
- (4) A class that serves a majority of children who are four and five years old must have no more than 20 children with a teacher and a teaching assistant or two teachers. A double session class that serves a majority of children who are four and five years old must have no more than 17 children with a teacher and a teaching assistant or two teachers.

**Table to §1302.21(b) — Center-based group size**

|                          |                                                                                                                   |
|--------------------------|-------------------------------------------------------------------------------------------------------------------|
| <b>4 and 5 year olds</b> | No more than 20 children enrolled in any class.<br>No more than 17 children enrolled in any double session class. |
| <b>3 year olds</b>       | No more than 17 children enrolled in any class<br>No more than 15 children enrolled in any double session class.  |
| <b>Under 3 years old</b> | No more than 8 or 9 children enrolled in any class, depending on the number of teachers.                          |

(c) Service duration.

(1) Early Head Start.

(i) By August 1, 2018, a program must provide 1,380 annual hours of planned class operations for all enrolled children.

(ii) A program that is designed to meet the needs of young parents enrolled in school settings may meet the service duration requirements in paragraph (c)(1)(i) of this section if it operates a center-based program schedule during the school year aligned with its local education agency requirements and provides regular home-based services during the summer break.

(2) Head Start.

(i) Until a program is operating all of its Head Start center-based funded enrollment

- at the standard described in paragraph (c)(2)(iv) or (v) of this section, a program must provide, at a minimum, at least 160 days per year of planned class operations if it operates for five days per week, or at least 128 days per year if it operates four days per week. Classes must operate for a minimum of 3.5 hours per day.
- (ii) Until a program is operating all of its Head Start center-based funded enrollment at the standard described in paragraph (c)(2)(iv) or (v) of this section, if a program operates a double session variation, it must provide classes for four days per week for a minimum of 128 days per year and 3.5 hours per day. Each double session class staff member must be provided adequate break time during the course of the day. In addition, teachers, aides, and volunteers must have appropriate time to prepare for each session together, to set up the classroom environment, and to give individual attention to children entering and leaving the center.
- (iii) By August 1, 2019, a program must provide 1,020 annual hours of planned class operations over the course of at least eight months per year for at least 50 percent of its Head Start center-based funded enrollment.
- (iv) By August 1, 2021, a program must provide 1,020 annual hours of planned class operations over the course of at least eight months per year for all of its Head Start center-based funded enrollment.
- (v) A Head Start program providing fewer than 1,020 annual hours of planned class operations or fewer than eight months of service is considered to meet the requirements described in paragraphs (c)(2)(iii) and (iv) of this section if its program schedule aligns with the annual hours required by its local education agency for grade one and such alignment is necessary to support partnerships for service delivery.
- (3) Secretarial determination.
- (i) On or before February 1, 2018, the Secretary may lower the required percentage described in paragraph (c)(2)(iii) of this section, based on an assessment of the availability of sufficient funding to mitigate a substantial reduction in funded enrollment; and,
- (ii) On or before February 1, 2020, the Secretary may lower the required percentage described in paragraph (c)(2)(iv) of this section, based on an assessment of the availability of sufficient funding to mitigate a substantial reduction in funded enrollment.
- (4) Extension. If an extension is necessary to ensure children enrolled in the program on November 7, 2016 are not displaced from the Early Head Start or Head Start program, a program may request a one-year extension from the responsible HHS official of the requirements outlined in paragraphs (c)(1) and (c)(2)(iii) of this section.
- (5) Exemption for Migrant or Seasonal Head Start programs. A Migrant or Seasonal program is not subject to the requirements described in §1302.21(c)(1) or (2), but must make every effort to provide as many days and hours of service as possible to each child and family.
- (6) Calendar planning. A program must:

- (i) Plan its year using a reasonable estimate of the number of days during a year that classes may be closed due to problems such as inclement weather; and,
  - (ii) Make every effort to schedule makeup days using existing resources if hours of planned class operations fall below the number required per year.
- (d) Licensing and square footage requirements.
- (1) The facilities used by a program must meet state, tribal, or local licensing requirements, even if exempted by the licensing entity. When state, tribal, or local requirements vary from Head Start requirements, the most stringent provision takes precedence.
  - (2) A center-based program must have at least 35 square feet of usable indoor space per child available for the care and use of children (exclusive of bathrooms, halls, kitchen, staff rooms, and storage places) and at least 75 square feet of usable outdoor play space per child.
  - (3) A program that operates two or more groups within an area must ensure clearly defined, safe divisions to separate groups. A program must ensure such spaces are learning environments that facilitate the implementation of the requirements in subpart C of this part. The divisions must limit noise transfer from one group to another to prevent disruption of an effective learning environment.

### **§1302.22 Home-based option.**

- (a) Setting. The home-based option delivers the full range of services, consistent with §1302.20(b), through visits with the child's parents, primarily in the child's home and through group socialization opportunities in a Head Start classroom, community facility, home, or on field trips. For Early Head Start programs, the home-based option may be used to deliver services to some or all of a program's enrolled children. For Head Start programs, the home-based option may only be used to deliver services to a portion of a program's enrolled children.
- (b) Caseload. A program that implements a home-based option must maintain an average caseload of 10 to 12 families per home visitor with a maximum of 12 families for any individual home visitor.
- (c) Service duration.
- (1) Early Head Start. By August 1, 2017, an Early Head Start home-based program must:
    - (i) Provide one home visit per week per family that lasts at least an hour and a half and provide a minimum of 46 visits per year; and,
    - (ii) Provide, at a minimum, 22 group socialization activities distributed over the course of the program year.
  - (2) Head Start. A Head Start home-based program must:
    - (i) Provide one home visit per week per family that lasts at least an hour and a half and provide a minimum of 32 visits per year; and,

- (ii) Provide, at a minimum, 16 group socialization activities distributed over the course of the program year.
- (3) Meeting minimum requirements. A program that implements a home-based option must:
- (i) Make up planned home visits or scheduled group socialization activities that were canceled by the program, and to the extent possible attempt to make up planned home visits canceled by the family, when this is necessary to meet the minimums described in paragraphs (c)(1) and (2) of this section; and,
- (ii) Not replace home visits or scheduled group socialization activities for medical or social service appointments for the purposes of meeting the minimum requirements described in paragraphs (c)(1) and (2) of this section.
- (d) Safety requirements. The areas for learning, playing, sleeping, toileting, preparing food, and eating in facilities used for group socializations in the home-based option must meet the safety standards described in §1302.47(1)(ii) through (viii).

### **§1302.23 Family child care option.**

(a) Setting. The family child care program option delivers the full range of services, consistent with §1302.20(b). Education and child development services are primarily delivered by a family child care provider in their home or other family-like setting. A program may choose to offer the family child care option if:

- (1) The program has a legally binding agreement with one or more family child care provider(s) that clearly defines the roles, rights, and responsibilities of each party, or the program is the employer of the family child care provider, and ensures children and families enrolled in this option receive the full range of services described in subparts C, D, E, F, and G of this part; and,
- (2) The program ensures family child care homes are available that can accommodate children and families with disabilities.

(b) Ratios and group size.

- (1) A program that operates the family child care option where Head Start children are enrolled must ensure group size does not exceed the limits specified in this section. If the family child care provider's own children under the age of six are present, they must be included in the group size.
- (2) When there is one family child care provider, the maximum group size is six children and no more than two of the six may be under 24 months of age. When there is a provider and an assistant, the maximum group size is twelve children with no more than four of the twelve children under 24 months of age.
- (3) One family child care provider may care for up to four children younger than 36 months of age with a maximum group size of four children, and no more than two of the four children may be under 18 months of age.

(4) A program must maintain appropriate ratios during all hours of program operation. A program must ensure providers have systems to ensure the safety of any child not within view for any period. A program must make substitute staff and assistant providers available with the necessary training and experience to ensure quality services to children are not interrupted.

(c) Service duration. Whether family child care option services are provided directly or via contractual arrangement, a program must ensure family child care providers operate sufficient hours to meet the child care needs of families and not less than 1,380 hours per year.

(d) Licensing requirements. A family child-care provider must be licensed by the state, tribal, or local entity to provide services in their home or family-like setting. When state, tribal, or local requirements vary from Head Start requirements, the most stringent provision applies.

(e) Child development specialist. A program that offers the family child care option must provide a child development specialist to support family child care providers and ensure the provision of quality services at each family child care home. Child development specialists must:

- (1) Conduct regular visits to each home, some of which are unannounced, not less than once every two weeks;
- (2) Periodically verify compliance with either contract requirements or agency policy;
- (3) Facilitate ongoing communication between program staff, family child care providers, and enrolled families; and,
- (4) Provide recommendations for technical assistance and support the family child care provider in developing relationships with other child care professionals.

### **§1302.24 Locally-designed program option variations.**

(a) Waiver option. Programs may request to operate a locally-designed program option, including a combination of program options, to better meet the unique needs of their communities or to demonstrate or test alternative approaches for providing program services. In order to operate a locally-designed program option, programs must seek a waiver as described in this section and must deliver the full range of services, consistent with §1302.20(b), and demonstrate how any change to their program design is consistent with achieving program goals in subpart J of this part.

(b) Request for approval. A program's request to operate a locally-designed variation may be approved by the responsible HHS official through the end of a program's current grant or, if the request is submitted through a grant application for an upcoming project period, for the project period of the new award. Such approval may be revoked based on progress toward program goals as described in §1302.102 and monitoring as described in §1304.2.

(c) Waiver requirements.

- (1) The responsible HHS official may waive one or more of the requirements contained in §1302.21(b), (c)(1)(i), and (c)(2)(iii) and (iv); §1302.22(a) through (c); and §1302.23(b) and (c), but may not waive ratios or group size for children under 24 months. Center-based

locally-designed options must meet the minimums described in section 640(k)(1) of the Act for center-based programs.

(2) If the responsible HHS official determines a waiver of group size for center-based services would better meet the needs of children and families in a community, the group size may not exceed the limits below:

(i) A group that serves children 24 to 36 months of age must have no more than ten children; and,

(ii) A group that serves predominantly three-year-old children must have no more than twenty children; and,

(iii) A group that serves predominantly four-year-old children must have no more than twenty-four children.

(3) If the responsible HHS official approves a waiver to allow a program to operate below the minimums described in §1302.21(c)(2)(iii) or (iv), a program must meet the requirements described in §1302.21(c)(2)(i), or in the case of a double session variation, a program must meet the requirements described in §1302.21(c)(2)(ii).

(4) In order to receive a waiver under this section, a program must provide supporting evidence that demonstrates the locally-designed variation effectively supports appropriate development and progress in children's early learning outcomes.

(5) In order to receive a waiver of service duration, a program must meet the requirement in paragraph (c)(4) of this section, provide supporting evidence that it better meets the needs of parents than the applicable service duration minimums described in §1302.21(c)(1), and (c)(2)(iii) and (iv), §1302.22(c), or §1302.23(c), and assess the effectiveness of the variation in supporting appropriate development and progress in children's early learning outcomes.

(d) Transition from previously approved program options. If, before November 7, 2016, a program was approved to operate a program option that is no longer allowable under §§1302.21 through 1302.23, a program may continue to operate that model until July 31, 2018.

## Subpart C — Education and Child Development Program Services

### §1302.30 Purpose.

All programs must provide high-quality early education and child development services, including for children with disabilities, that promote children's cognitive, social, and emotional growth for later success in school. A center-based or family child care program must embed responsive and effective teacher-child interactions. A home-based program must promote secure parent-child relationships and help parents provide high-quality early learning experiences. All programs must implement a research-based curriculum, and screening and assessment procedures that support individualization and growth in the areas of development described in the Head Start Early Learning Outcomes

Framework: Ages Birth to Five and support family engagement in children’s learning and development. A program must deliver developmentally, culturally, and linguistically appropriate learning experiences in language, literacy, mathematics, social and emotional functioning, approaches to learning, science, physical skills, and creative arts. To deliver such high-quality early education and child development services, a center-based or family child care program must implement, at a minimum, the elements contained in §§1302.31 through 1302.34, and a home-based program must implement, at a minimum, the elements in §§1302.33 and 1302.35.

### **§1302.31 Teaching and the learning environment.**

(a) Teaching and the learning environment. A center-based and family child care program must ensure teachers and other relevant staff provide responsive care, effective teaching, and an organized learning environment that promotes healthy development and children’s skill growth aligned with the Head Start Early Learning Outcomes Framework: Ages Birth to Five, including for children with disabilities. A program must also support implementation of such environment with integration of regular and ongoing supervision and a system of individualized and ongoing professional development, as appropriate. This includes, at a minimum, the practices described in paragraphs (b) through (e) of this section.

(b) Effective teaching practices.

(1) Teaching practices must:

(i) Emphasize nurturing and responsive practices, interactions, and environments that foster trust and emotional security; are communication and language rich; promote critical thinking and problem-solving; social, emotional, behavioral, and language development; provide supportive feedback for learning; motivate continued effort; and support all children’s engagement in learning experiences and activities;

(ii) Focus on promoting growth in the developmental progressions described in the Head Start Early Learning Outcomes Framework: Ages Birth to Five by aligning with and using the Framework and the curricula as described in §1302.32 to direct planning of organized activities, schedules, lesson plans, and the implementation of high-quality early learning experiences that are responsive to and build upon each child’s individual pattern of development and learning;

(iii) Integrate child assessment data in individual and group planning; and,

(iv) Include developmentally appropriate learning experiences in language, literacy, social and emotional development, math, science, social studies, creative arts, and physical development that are focused toward achieving progress outlined in the Head Start Early Learning Outcomes Framework: Ages Birth to Five.

(2) For dual language learners, a program must recognize bilingualism and biliteracy as strengths and implement research-based teaching practices that support their development. These practices must:

(i) For an infant or toddler dual language learner, include teaching practices that focus on

- the development of the home language, when there is a teacher with appropriate language competency, and experiences that expose the child to English;
- (ii) For a preschool age dual language learner, include teaching practices that focus on both English language acquisition and the continued development of the home language; or,
- (iii) If staff do not speak the home language of all children in the learning environment, include steps to support the development of the home language for dual language learners such as having culturally and linguistically appropriate materials available and other evidence-based strategies. Programs must work to identify volunteers who speak children's home language/s who could be trained to work in the classroom to support children's continued development of the home language.
- (c) Learning environment. A program must ensure teachers implement well-organized learning environments with developmentally appropriate schedules, lesson plans, and indoor and outdoor learning experiences that provide adequate opportunities for choice, play, exploration, and experimentation among a variety of learning, sensory, and motor experiences and:
- (1) For infants and toddlers, promote relational learning and include individualized and small group activities that integrate appropriate daily routines into a flexible schedule of learning experiences; and,
  - (2) For preschool age children, include teacher-directed and child-initiated activities, active and quiet learning activities, and opportunities for individual, small group, and large group learning activities.
- (d) Materials and space for learning. To support implementation of the curriculum and the requirements described in paragraphs (a), (b), (c), and (e) of this section a program must provide age-appropriate equipment, materials, supplies and physical space for indoor and outdoor learning environments, including functional space. The equipment, materials and supplies must include any necessary accommodations and the space must be accessible to children with disabilities. Programs must change materials intentionally and periodically to support children's interests, development, and learning.
- (e) Promoting learning through approaches to rest, meals, routines, and physical activity.
- (1) A program must implement an intentional, age appropriate approach to accommodate children's need to nap or rest, and that, for preschool age children in a program that operates for 6 hours or longer per day provides a regular time every day at which preschool age children are encouraged but not forced to rest or nap. A program must provide alternative quiet learning activities for children who do not need or want to rest or nap.
  - (2) A program must implement snack and meal times in ways that support development and learning. For bottle-fed infants, this approach must include holding infants during feeding to support socialization. Snack and meal times must be structured and used as learning opportunities that support teaching staff-child interactions and foster communication and conversations that contribute to a child's learning, development, and socialization. Programs are encouraged to meet this requirement with family style meals when developmentally appropri-

ate. A program must also provide sufficient time for children to eat, not use food as reward or punishment, and not force children to finish their food.

(3) A program must approach routines, such as hand washing and diapering, and transitions between activities, as opportunities for strengthening development, learning, and skill growth.

(4) A program must recognize physical activity as important to learning and integrate intentional movement and physical activity into curricular activities and daily routines in ways that support health and learning. A program must not use physical activity as reward or punishment.

## §1302.32 Curricula.

### (a) Curricula.

(1) Center-based and family child care programs must implement developmentally appropriate research-based early childhood curricula, including additional curricular enhancements, as appropriate that:

(i) Are based on scientifically valid research and have standardized training procedures and curriculum materials to support implementation;

(ii) Are aligned with the Head Start Early Learning Outcomes Framework: Ages Birth to Five and, as appropriate, state early learning and development standards; and are sufficiently content-rich to promote measurable progress toward development and learning outlined in the Framework; and,

(iii) Have an organized developmental scope and sequence that include plans and materials for learning experiences based on developmental progressions and how children learn.

(2) A program must support staff to effectively implement curricula and at a minimum monitor curriculum implementation and fidelity, and provide support, feedback, and supervision for continuous improvement of its implementation through the system of training and professional development.

(b) Adaptation. A program that chooses to make significant adaptations to a curriculum or a curriculum enhancement described in paragraph (a)(1) of this section to better meet the needs of one or more specific populations must use an external early childhood education curriculum or content area expert to develop such significant adaptations. A program must assess whether the adaptation adequately facilitates progress toward meeting school readiness goals, consistent with the process described in §1302.102(b) and (c). Programs are encouraged to partner with outside evaluators in assessing such adaptations.

## §1302.33 Child screenings and assessments.

### (a) Screening.

(1) In collaboration with each child's parent and with parental consent, a program must com-

plete or obtain a current developmental screening to identify concerns regarding a child's developmental, behavioral, motor, language, social, cognitive, and emotional skills within 45 calendar days of when the child first attends the program or, for the home-based program option, receives a home visit. A program that operates for 90 days or less must complete or obtain a current developmental screening within 30 calendar days of when the child first attends the program.

(2) A program must use one or more research-based developmental standardized screening tools to complete the screening. A program must use as part of the screening additional information from family members, teachers, and relevant staff familiar with the child's typical behavior.

(3) If warranted through screening and additional relevant information and with direct guidance from a mental health or child development professional a program must, with the parent's consent, promptly and appropriately address any needs identified through:

(i) Referral to the local agency responsible for implementing IDEA for a formal evaluation to assess the child's eligibility for services under IDEA as soon as possible, and not to exceed timelines required under IDEA; and,

(ii) Partnership with the child's parents and the relevant local agency to support families through the formal evaluation process.

(4) If a child is determined to be eligible for services under IDEA, the program must partner with parents and the local agency responsible for implementing IDEA, as appropriate, and deliver the services in subpart F of this part.

(5) If, after the formal evaluation described in paragraph (a)(3)(i) of this section, the local agency responsible for implementing IDEA determines the child is not eligible for early intervention or special education and related services under IDEA, the program must:

(i) Seek guidance from a mental health or child development professional to determine if the formal evaluation shows the child has a significant delay in one or more areas of development that is likely to interfere with the child's development and school readiness; and,

(ii) If the child has a significant delay, partner with parents to help the family access services and supports to help address the child's identified needs.

(A) Such additional services and supports may be available through a child's health insurance or it may be appropriate for the program to provide needed services and supports under section 504 of the Rehabilitation Act if the child satisfies the definition of disability in 29 U.S.C. section 705(9)(b) of the Rehabilitation Act, to ensure that the child who satisfies the definition of disability in 29 U.S.C. 705(9)(b) of the Rehabilitation Act is not excluded from the program on the basis of disability.

(B) A program may use program funds for such services and supports when no other sources of funding are available.

(b) Assessment for individualization.

(1) A program must conduct standardized and structured assessments, which may be observation-based or direct, for each child that provide ongoing information to evaluate the child's developmental level and progress in outcomes aligned to the goals described in the Head Start Early Learning Child Outcomes Framework: Ages Birth to Five. Such assessments must result in usable information for teachers, home visitors, and parents and be conducted with sufficient frequency to allow for individualization within the program year.

(2) A program must regularly use information from paragraph (b)(1) of this section along with informal teacher observations and additional information from family and staff, as relevant, to determine a child's strengths and needs, inform and adjust strategies to better support individualized learning and improve teaching practices in center-based and family child care settings, and improve home visit strategies in home-based models.

(3) If warranted from the information gathered from paragraphs (b)(1) and (2) of this section and with direct guidance from a mental health or child development professional and a parent's consent, a program must refer the child to the local agency responsible for implementing IDEA for a formal evaluation to assess a child's eligibility for services under IDEA.

(c) Characteristics of screenings and assessments.

(1) Screenings and assessments must be valid and reliable for the population and purpose for which they will be used, including by being conducted by qualified and trained personnel, and being age, developmentally, culturally and linguistically appropriate, and appropriate for children with disabilities, as needed.

(2) If a program serves a child who speaks a language other than English, a program must use qualified bilingual staff, contractor, or consultant to:

(i) Assess language skills in English and in the child's home language, to assess both the child's progress in the home language and in English language acquisition;

(ii) Conduct screenings and assessments for domains other than language skills in the language or languages that best capture the child's development and skills in the specific domain; and,

(iii) Ensure those conducting the screening or assessment know and understand the child's language and culture and have sufficient skill level in the child's home language to accurately administer the screening or assessment and to record and understand the child's responses, interactions, and communications.

(3) If a program serves a child who speaks a language other than English and qualified bilingual staff, contractors, or consultants are not able to conduct screenings and assessments, a program must use an interpreter in conjunction with a qualified staff person to conduct screenings and assessments as described in paragraphs (c)(2)(i) through (iii) of this section.

(4) If a program serves a child who speaks a language other than English and can demonstrate that there is not a qualified bilingual staff person or interpreter, then screenings and assessments may be conducted in English. In such a case, a program must also gather and use other

information, including structured observations over time and information gathered in a child's home language from the family, for use in evaluating the child's development and progress.

(d) Prohibitions on use of screening and assessment data. The use of screening and assessment items and data on any screening or assessment authorized under this subchapter by any agent of the federal government is prohibited for the purposes of ranking, comparing, or otherwise evaluating individual children for purposes other than research, training, or technical assistance, and is prohibited for the purposes of providing rewards or sanctions for individual children or staff. A program must not use screening or assessments to exclude children from enrollment or participation.

### **§1302.34 Parent and family engagement in education and child development services.**

(a) Purpose. Center-based and family child care programs must structure education and child development services to recognize parents' roles as children's lifelong educators, and to encourage parents to engage in their child's education.

(b) Engaging parents and family members. A program must offer opportunities for parents and family members to be involved in the program's education services and implement policies to ensure:

- (1) The program's settings are open to parents during all program hours;
- (2) Teachers regularly communicate with parents to ensure they are well-informed about their child's routines, activities, and behavior;
- (3) Teachers hold parent conferences, as needed, but no less than two times per program year, to enhance the knowledge and understanding of both staff and parents of the child's education and developmental progress and activities in the program;
- (4) Parents have the opportunity to learn about and to provide feedback on selected curricula and instructional materials used in the program;
- (5) Parents and family members have opportunities to volunteer in the class and during group activities;
- (6) Teachers inform parents, about the purposes of and the results from screenings and assessments and discuss their child's progress;
- (7) Teachers, except those described in paragraph (b)(8) of this section, conduct at least two home visits per program year for each family, including one before the program year begins, if feasible, to engage the parents in the child's learning and development, except that such visits may take place at a program site or another safe location that affords privacy at the parent's request, or if a visit to the home presents significant safety hazards for staff; and,
- (8) Teachers that serve migrant or seasonal families make every effort to conduct home visits to engage the family in the child's learning and development.

### §1302.35 Education in home-based programs.

(a) Purpose. A home-based program must provide home visits and group socialization activities that promote secure parent-child relationships and help parents provide high-quality early learning experiences in language, literacy, mathematics, social and emotional functioning, approaches to learning, science, physical skills, and creative arts. A program must implement a research-based curriculum that delivers developmentally, linguistically, and culturally appropriate home visits and group socialization activities that support children's cognitive, social, and emotional growth for later success in school.

(b) Home-based program design. A home-based program must ensure all home visits are:

- (1) Planned jointly by the home visitor and parents, and reflect the critical role of parents in the early learning and development of their children, including that the home visitor is able to effectively communicate with the parent, directly or through an interpreter;
- (2) Planned using information from ongoing assessments that individualize learning experiences;
- (3) Scheduled with sufficient time to serve all enrolled children in the home and conducted with parents and are not conducted when only babysitters or other temporary caregivers are present;
- (4) Scheduled with sufficient time and appropriate staff to ensure effective delivery of services described in subparts D, E, F, and G of this part through home visiting, to the extent possible.

(c) Home visit experiences. A program that operates the home-based option must ensure all home visits focus on promoting high-quality early learning experiences in the home and growth towards the goals described in the Head Start Early Learning Outcomes Framework: Ages Birth to Five and must use such goals and the curriculum to plan home visit activities that implement:

- (1) Age and developmentally appropriate, structured child-focused learning experiences;
- (2) Strategies and activities that promote parents' ability to support the child's cognitive, social, emotional, language, literacy, and physical development;
- (3) Strategies and activities that promote the home as a learning environment that is safe, nurturing, responsive, and language- and communication- rich;
- (4) Research-based strategies and activities for children who are dual language learners that recognize bilingualism and biliteracy as strengths, and:
  - (i) For infants and toddlers, focus on the development of the home language, while providing experiences that expose both parents and children to English; and,
  - (ii) For preschoolers, focus on both English language acquisition and the continued development of the home language; and,
- (5) Follow-up with the families to discuss learning experiences provided in the home between

each visit, address concerns, and inform strategies to promote progress toward school readiness goals.

(d) Home-based curriculum. A program that operates the home-based option must:

(1) Ensure home-visiting and group socializations implement a developmentally appropriate research-based early childhood home-based curriculum that:

(i) Promotes the parent's role as the child's teacher through experiences focused on the parent-child relationship and, as appropriate, the family's traditions, culture, values, and beliefs;

(ii) Aligns with the Head Start Early Learning Outcomes Framework: Ages Birth to Five and, as appropriate, state early learning standards, and, is sufficiently content-rich within the Framework to promote measurable progress toward goals outlined in the Framework; and,

(iii) Has an organized developmental scope and sequence that includes plans and materials for learning experiences based on developmental progressions and how children learn.

(2) Support staff in the effective implementation of the curriculum and at a minimum monitor curriculum implementation and fidelity, and provide support, feedback, and supervision for continuous improvement of its implementation through the system of training and professional development.

(3) If a program chooses to make significant adaptations to a curriculum or curriculum enhancement to better meet the needs of one or more specific populations, a program must:

(i) Partner with early childhood education curriculum or content experts; and,

(ii) Assess whether the adaptation adequately facilitates progress toward meeting school readiness goals consistent with the process described in §1302.102(b) and (c).

(4) Provide parents with an opportunity to review selected curricula and instructional materials used in the program.

(e) Group socialization.

(1) A program that operates the home-based option must ensure group socializations are planned jointly with families, conducted with both child and parent participation, occur in a classroom, community facility, home or field trip setting, as appropriate.

(2) Group socializations must be structured to:

(i) Provide age appropriate activities for participating children that are intentionally aligned to school readiness goals, the Head Start Early Learning Outcomes Framework: Ages Birth to Five and the home-based curriculum; and,

(ii) Encourage parents to share experiences related to their children's development with

other parents in order to strengthen parent-child relationships and to help promote parents understanding of child development;

(3) For parents with preschoolers, group socializations also must provide opportunities for parents to participate in activities that support parenting skill development or family partnership goals identified in §1302.52(c), as appropriate and must emphasize peer group interactions designed to promote children's social, emotional and language development, and progress towards school readiness goals, while encouraging parents to observe and actively participate in activities, as appropriate.

(f) Screening and assessments. A program that operates the home-based option must implement provisions in §1302.33 and inform parents about the purposes of and the results from screenings and assessments and discuss their child's progress.

### **§1302.36 Tribal language preservation and revitalization.**

A program that serves American Indian and Alaska Native children may integrate efforts to preserve, revitalize, restore, or maintain the tribal language for these children into program services. Such language preservation and revitalization efforts may include full immersion in the tribal language for the majority of the hours of planned class operations. If children's home language is English, exposure to English as described in §1302.31(b)(2)(i) and (ii) is not required.

## **Subpart D — Health Program Services**

### **§1302.40 Purpose.**

(a) A program must provide high-quality health, oral health, mental health, and nutrition services that are developmentally, culturally, and linguistically appropriate and that will support each child's growth and school readiness.

(b) A program must establish and maintain a Health Services Advisory Committee that includes Head Start parents, professionals, and other volunteers from the community.

### **§1302.41 Collaboration and communication with parents.**

(a) For all activities described in this part, programs must collaborate with parents as partners in the health and well-being of their children in a linguistically and culturally appropriate manner and communicate with parents about their child's health needs and development concerns in a timely and effective manner.

(b) At a minimum, a program must:

(1) Obtain advance authorization from the parent or other person with legal authority for all health and developmental procedures administered through the program or by contract or agreement, and, maintain written documentation if they refuse to give authorization for health services; and,

- (2) Share with parents the policies for health emergencies that require rapid response on the part of staff or immediate medical attention.

## **§1302.42 Child health status and care.**

### **(a) Source of health care.**

- (1) A program, within 30 calendar days after the child first attends the program or, for the home-based program option, receives a home visit, must consult with parents to determine whether each child has ongoing sources of continuous, accessible health care – provided by a health care professional that maintains the child’s ongoing health record and is not primarily a source of emergency or urgent care – and health insurance coverage.
- (2) If the child does not have such a source of ongoing care and health insurance coverage or access to care through the Indian Health Service, the program must assist families in accessing a source of care and health insurance that will meet these criteria, as quickly as possible.

### **(b) Ensuring up-to-date child health status.**

- (1) Within 90 calendar days after the child first attends the program or, for the home-based program option, receives a home visit, with the exceptions noted in paragraph (b)(3) of this section, a program must:
- (i) Obtain determinations from health care and oral health care professionals as to whether or not the child is up-to-date on a schedule of age appropriate preventive and primary medical and oral health care, based on: the well-child visits and dental periodicity schedules as prescribed by the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) program of the Medicaid agency of the state in which they operate, immunization recommendations issued by the Centers for Disease Control and Prevention, and any additional recommendations from the local Health Services Advisory Committee that are based on prevalent community health problems;
  - (ii) Assist parents with making arrangements to bring the child up-to-date as quickly as possible; and, if necessary, directly facilitate provision of health services to bring the child up-to-date with parent consent as described in §1302.41(b)(1).
- (2) Within 45 calendar days after the child first attends the program or, for the home-based program option, receives a home visit, a program must either obtain or perform evidence-based vision and hearing screenings.
- (3) If a program operates for 90 days or less, it has 30 days from the date the child first attends the program to satisfy paragraphs (b)(1) and (2) of this section.
- (4) A program must identify each child’s nutritional health needs, taking into account available health information, including the child’s health records, and family and staff concerns, including special dietary requirements, food allergies, and community nutrition issues as identified through the community assessment or by the Health Services Advisory Committee.

### **(c) Ongoing care.**

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- (1) A program must help parents continue to follow recommended schedules of well-child and oral health care.
  - (2) A program must implement periodic observations or other appropriate strategies for program staff and parents to identify any new or recurring developmental, medical, oral, or mental health concerns.
  - (3) A program must facilitate and monitor necessary oral health preventive care, treatment and follow-up, including topical fluoride treatments. In communities where there is a lack of adequate fluoride available through the water supply and for every child with moderate to severe tooth decay, a program must also facilitate fluoride supplements, and other necessary preventive measures, and further oral health treatment as recommended by the oral health professional.
- (d) Extended follow-up care.
- (1) A program must facilitate further diagnostic testing, evaluation, treatment, and follow-up plan, as appropriate, by a licensed or certified professional for each child with a health problem or developmental delay, such as elevated lead levels or abnormal hearing or vision results that may affect child's development, learning, or behavior.
  - (2) A program must develop a system to track referrals and services provided and monitor the implementation of a follow-up plan to meet any treatment needs associated with a health, oral health, social and emotional, or developmental problem.
  - (3) A program must assist parents, as needed, in obtaining any prescribed medications, aids or equipment for medical and oral health conditions.
- (e) Use of funds.
- (1) A program must use program funds for the provision of diapers and formula for enrolled children during the program day.
  - (2) A program may use program funds for professional medical and oral health services when no other source of funding is available. When program funds are used for such services, grantee and delegate agencies must have written documentation of their efforts to access other available sources of funding.

### §1302.43 Oral health practices.

A program must promote effective oral health hygiene by ensuring all children with teeth are assisted by appropriate staff, or volunteers, if available, in brushing their teeth with toothpaste containing fluoride once daily.

### §1302.44 Child nutrition.

(a) Nutrition service requirements.

- (1) A program must design and implement nutrition services that are culturally and develop-

mentally appropriate, meet the nutritional needs of and accommodate the feeding requirements of each child, including children with special dietary needs and children with disabilities. Family style meals are encouraged as described in §1302.31 (e)(2).

(2) Specifically, a program must:

- (i) Ensure each child in a program that operates for fewer than six hours per day receives meals and snacks that provide one third to one half of the child's daily nutritional needs;
- (ii) Ensure each child in a program that operates for six hours or more per day receives meals and snacks that provide one half to two thirds of the child's daily nutritional needs, depending upon the length of the program day;
- (iii) Serve three- to five-year-olds meals and snacks that conform to USDA requirements in 7 CFR parts 210, 220, and 226, and are high in nutrients and low in fat, sugar, and salt;
- (iv) Feed infants and toddlers according to their individual developmental readiness and feeding skills as recommended in USDA requirements outlined in 7 CFR parts 210, 220, and 226, and ensure infants and young toddlers are fed on demand to the extent possible;
- (v) Ensure bottle-fed infants are never laid down to sleep with a bottle;
- (vi) Serve all children in morning center-based settings who have not received breakfast upon arrival at the program a nourishing breakfast;
- (vii) Provide appropriate healthy snacks and meals to each child during group socialization activities in the home-based option;
- (viii) Promote breastfeeding, including providing facilities to properly store and handle breast milk and make accommodations, as necessary, for mothers who wish to breast-feed during program hours, and if necessary, provide referrals to lactation consultants or counselors; and,
- (ix) Make safe drinking water available to children during the program day.

(b) Payment sources. A program must use funds from USDA Food, Nutrition, and Consumer Services child nutrition programs as the primary source of payment for meal services. Early Head Start and Head Start funds may be used to cover those allowable costs not covered by the USDA.

### **§1302.45 Child mental health and social and emotional well-being.**

(a) Wellness promotion. To support a program-wide culture that promotes children's mental health, social and emotional well-being, and overall health, a program must:

- (1) Provide supports for effective classroom management and positive learning environments; supportive teacher practices; and, strategies for supporting children with challenging behaviors and other social, emotional, and mental health concerns;
- (2) Secure mental health consultation services on a schedule of sufficient and consistent fre-

quency to ensure a mental health consultant is available to partner with staff and families in a timely and effective manner;

(3) Obtain parental consent for mental health consultation services at enrollment; and,

(4) Build community partnerships to facilitate access to additional mental health resources and services, as needed.

(b) Mental health consultants. A program must ensure mental health consultants assist:

(1) The program to implement strategies to identify and support children with mental health and social and emotional concerns;

(2) Teachers, including family child care providers, to improve classroom management and teacher practices through strategies that include using classroom observations and consultations to address teacher and individual child needs and creating physical and cultural environments that promote positive mental health and social and emotional functioning ;

(3) Other staff, including home visitors, to meet children’s mental health and social and emotional needs through strategies that include observation and consultation;

(4) Staff to address prevalent child mental health concerns, including internalizing problems such as appearing withdrawn and externalizing problems such as challenging behaviors; and,

(5) In helping both parents and staff to understand mental health and access mental health interventions, if needed.

(6) In the implementation of the policies to limit suspension and prohibit expulsion as described in §1302.17.

## **§1302.46 Family support services for health, nutrition, and mental health.**

(a) Parent collaboration. Programs must collaborate with parents to promote children’s health and well-being by providing medical, oral, nutrition and mental health education support services that are understandable to individuals, including individuals with low health literacy.

(b) Opportunities.

(1) Such collaboration must include opportunities for parents to:

(i) Learn about preventive medical and oral health care, emergency first aid, environmental hazards, and health and safety practices for the home including health and developmental consequences of tobacco products use and exposure to lead, and safe sleep;

(ii) Discuss their child’s nutritional status with staff, including the importance of physical activity, healthy eating, and the negative health consequences of sugar-sweetened beverages, and how to select and prepare nutritious foods that meet the family’s nutrition and food budget needs;

(iii) Learn about healthy pregnancy and postpartum care, as appropriate, including

- breastfeeding support and treatment options for parental mental health or substance abuse problems, including perinatal depression;
- (iv) Discuss with staff and identify issues related to child mental health and social and emotional well-being, including observations and any concerns about their child's mental health, typical and atypical behavior and development, and how to appropriately respond to their child and promote their child's social and emotional development; and,
- (v) Learn about appropriate vehicle and pedestrian safety for keeping children safe.
- (2) A program must provide ongoing support to assist parents' navigation through health systems to meet the general health and specifically identified needs of their children and must assist parents:
- (i) In understanding how to access health insurance for themselves and their families, including information about private and public health insurance and designated enrollment periods;
- (ii) In understanding the results of diagnostic and treatment procedures as well as plans for ongoing care; and,
- (iii) In familiarizing their children with services they will receive while enrolled in the program and to enroll and participate in a system of ongoing family health care.

### §1302.47 Safety practices.

- (a) A program must establish, train staff on, implement, and enforce a system of health and safety practices that ensure children are kept safe at all times. A program should consult Caring for our Children Basics, available at [http://www.acf.hhs.gov/sites/default/files/ecd/caring\\_for\\_our\\_children\\_basics.pdf](http://www.acf.hhs.gov/sites/default/files/ecd/caring_for_our_children_basics.pdf), for additional information to develop and implement adequate safety policies and practices described in this part.
- (b) A program must develop and implement a system of management, including ongoing training, oversight, correction and continuous improvement in accordance with §1302.102, that includes policies and practices to ensure all facilities, equipment and materials, background checks, safety training, safety and hygiene practices and administrative safety procedures are adequate to ensure child safety. This system must ensure:
- (1) **Facilities.** All facilities where children are served, including areas for learning, playing, sleeping, toileting, and eating are, at a minimum:
- (i) Meet licensing requirements in accordance with §§1302.21(d)(1) and 1302.23(d);
- (ii) Clean and free from pests;
- (iii) Free from pollutants, hazards and toxins that are accessible to children and could endanger children's safety;
- (iv) Designed to prevent child injury and free from hazards, including choking, strangu-

lation, electrical, and drowning hazards, hazards posed by appliances and all other safety hazards;

- (v) Well lit, including emergency lighting;
- (vi) Equipped with safety supplies that are readily accessible to staff, including, at a minimum, fully-equipped and up-to-date first aid kits and appropriate fire safety supplies;
- (vii) Free from firearms or other weapons that are accessible to children;
- (viii) Designed to separate toileting and diapering areas from areas for preparing food, cooking, eating, or children's activities; and,
- (ix) Kept safe through an ongoing system of preventative maintenance.

(2) Equipment and materials. Indoor and outdoor play equipment, cribs, cots, feeding chairs, strollers, and other equipment used in the care of enrolled children, and as applicable, other equipment and materials meet standards set by the Consumer Product Safety Commission (CPSC) or the American Society for Testing and Materials, International (ASTM). All equipment and materials must at a minimum:

- (i) Be clean and safe for children's use and are appropriately disinfected;
- (ii) Be accessible only to children for whom they are age appropriate;
- (iii) Be designed to ensure appropriate supervision of children at all times;
- (iv) Allow for the separation of infants and toddlers from preschoolers during play in center-based programs; and,
- (v) Be kept safe through an ongoing system of preventative maintenance.

(3) Background checks. All staff have complete background checks in accordance with §1302.90(b).

(4) Safety training.

(i) Staff with regular child contact. All staff with regular child contact have initial orientation training within three months of hire and ongoing training in all state, local, tribal, federal and program-developed health, safety and child care requirements to ensure the safety of children in their care; including, at a minimum, and as appropriate based on staff roles and ages of children they work with, training in:

- (A) The prevention and control of infectious diseases;
- (B) Prevention of sudden infant death syndrome and use of safe sleeping practices;
- (C) Administration of medication, consistent with standards for parental consent;
- (D) Prevention and response to emergencies due to food and allergic reactions;

- (E) Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic;
- (F) Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment;
- (G) Emergency preparedness and response planning for emergencies;
- (H) Handling and storage of hazardous materials and the appropriate disposal of biocontaminants;
- (I) Appropriate precautions in transporting children, if applicable;
- (J) First aid and cardiopulmonary resuscitation; and,
- (K) Recognition and reporting of child abuse and neglect, in accordance with the requirement at paragraph (b)(5) of this section.

(ii) Staff without regular child contact. All staff with no regular responsibility for or contact with children have initial orientation training within three months of hire; ongoing training in all state, local, tribal, federal and program-developed health and safety requirements applicable to their work; and training in the program's emergency and disaster preparedness procedures.

(5) Safety practices. All staff and consultants follow appropriate practices to keep children safe during all activities, including, at a minimum:

- (i) Reporting of suspected or known child abuse and neglect, including that staff comply with applicable federal, state, local, and tribal laws;
- (ii) Safe sleep practices, including ensuring that all sleeping arrangements for children under 18 months of age use firm mattresses or cots, as appropriate, and for children under 12 months, soft bedding materials or toys must not be used;
- (iii) Appropriate indoor and outdoor supervision of children at all times;
- (iv) Only releasing children to an authorized adult, and;
- (v) All standards of conduct described in §1302.90(c).

6) Hygiene practices. All staff systematically and routinely implement hygiene practices that at a minimum ensure:

- (i) Appropriate toileting, hand washing, and diapering procedures are followed;
- (ii) Safe food preparation; and,
- (iii) Exposure to blood and body fluids are handled consistent with standards of the Occupational Safety Health Administration.

(7) Administrative safety procedures. Programs establish, follow, and practice, as appropriate, procedures for, at a minimum:

- (i) Emergencies;
  - (ii) Fire prevention and response;
  - (iii) Protection from contagious disease, including appropriate inclusion and exclusion policies for when a child is ill, and from an infectious disease outbreak, including appropriate notifications of any reportable illness;
  - (iv) The handling, storage, administration, and record of administration of medication;
  - (v) Maintaining procedures and systems to ensure children are only released to an authorized adult; and,
  - (vi) Child specific health care needs and food allergies that include accessible plans of action for emergencies. For food allergies, a program must also post individual child food allergies prominently where staff can view wherever food is served.
- (8) Disaster preparedness plan. The program has all-hazards emergency management/disaster preparedness and response plans for more and less likely events including natural and man-made disasters and emergencies, and violence in or near programs.

(c) A program must report any safety incidents in accordance with §1302.102(d)(1)(ii).

## Subpart E — Family and Community Engagement Program Services

### §1302.50 Family engagement.

(a) Purpose. A program must integrate parent and family engagement strategies into all systems and program services to support family well-being and promote children's learning and development. Programs are encouraged to develop innovative two-generation approaches that address prevalent needs of families across their program that may leverage community partnerships or other funding sources.

(b) Family engagement approach. A program must:

- (1) Recognize parents as their children's primary teachers and nurturers and implement intentional strategies to engage parents in their children's learning and development and support parent-child relationships, including specific strategies for father engagement;
- (2) Develop relationships with parents and structure services to encourage trust and respectful, ongoing two-way communication between staff and parents to create welcoming program environments that incorporate the unique cultural, ethnic, and linguistic backgrounds of families in the program and community;
- (3) Collaborate with families in a family partnership process that identifies needs, interests, strengths, goals, and services and resources that support family well-being, including family safety, health, and economic stability;

- (4) Provide parents with opportunities to participate in the program as employees or volunteers;
- (5) Conduct family engagement services in the family's preferred language, or through an interpreter, to the extent possible, and ensure families have the opportunity to share personal information in an environment in which they feel safe; and,
- (6) Implement procedures for teachers, home visitors, and family support staff to share information with each other, as appropriate and consistent with the requirements in part 1303 subpart C, of this chapter; FERPA; or IDEA, to ensure coordinated family engagement strategies with children and families in the classroom, home, and community.

### **§1302.51 Parent activities to promote child learning and development.**

(a) A program must promote shared responsibility with parents for children's early learning and development, and implement family engagement strategies that are designed to foster parental confidence and skills in promoting children's learning and development. These strategies must include:

- (1) Offering activities that support parent-child relationships and child development including language, dual language, literacy, and bi-literacy development as appropriate;
- (2) Providing parents with information about the importance of their child's regular attendance, and partner with them, as necessary, to promote consistent attendance; and,
- (3) For dual language learners, information and resources for parents about the benefits of bilingualism and biliteracy.

(b) A program must, at a minimum, offer opportunities for parents to participate in a research-based parenting curriculum that builds on parents' knowledge and offers parents the opportunity to practice parenting skills to promote children's learning and development. A program that chooses to make significant adaptations to the parenting curriculum to better meet the needs of one or more specific populations must work with an expert or experts to develop such adaptations.

### **§1302.52 Family partnership services.**

(a) Family partnership process. A program must implement a family partnership process that includes a family partnership agreement and the activities described in this section to support family well-being, including family safety, health, and economic stability, to support child learning and development, to provide, if applicable, services and supports for children with disabilities, and to foster parental confidence and skills that promote the early learning and development of their children. The process must be initiated as early in the program year as possible and continue for as long as the family participates in the program, based on parent interest and need.

(b) Identification of family strengths and needs. A program must implement intake and family assessment procedures to identify family strengths and needs related to the family engagement outcomes as described in the Head Start Parent Family and Community Engagement Framework, including family well-being, parent-child relationships, families as lifelong educators, families as

learners, family engagement in transitions, family connections to peers and the local community, and families as advocates and leaders.

(c) Individualized family partnership services. A program must offer individualized family partnership services that:

- (1) Collaborate with families to identify interests, needs, and aspirations related to the family engagement outcomes described in paragraph (b) of this section;
- (2) Help families achieve identified individualized family engagement outcomes;
- (3) Establish and implement a family partnership agreement process that is jointly developed and shared with parents in which staff and families to review individual progress, revise goals, evaluate and track whether identified needs and goals are met, and adjust strategies on an ongoing basis, as necessary, and;
- (4) Assign staff and resources based on the urgency and intensity of identified family needs and goals.

(d) Existing plans and community resources. In implementing this section, a program must take into consideration any existing plans for the family made with other community agencies and availability of other community resources to address family needs, strengths, and goals, in order to avoid duplication of effort.

### **§1302.53 Community partnerships and coordination with other early childhood and education programs.**

(a) Community partnerships.

- (1) A program must establish ongoing collaborative relationships and partnerships with community organizations such as establishing joint agreements, procedures, or contracts and arranging for onsite delivery of services as appropriate, to facilitate access to community services that are responsive to children's and families' needs and family partnership goals, and community needs and resources, as determined by the community assessment.
- (2) A program must establish necessary collaborative relationships and partnerships, with community organizations that may include:
  - (i) Health care providers, including child and adult mental health professionals, Medicaid managed care networks, dentists, other health professionals, nutritional service providers, providers of prenatal and postnatal support, and substance abuse treatment providers;
  - (ii) Individuals and agencies that provide services to children with disabilities and their families, elementary schools, state preschool providers, and providers of child care services;
  - (iii) Family preservation and support services and child protective services and any other agency to which child abuse must be reported under state or tribal law;

- (iv) Educational and cultural institutions, such as libraries and museums, for both children and families;
  - (v) Temporary Assistance for Needy Families, nutrition assistance agencies, workforce development and training programs, adult or family literacy, adult education, and post-secondary education institutions, and agencies or financial institutions that provide asset-building education, products and services to enhance family financial stability and savings;
  - (vi) Housing assistance agencies and providers of support for children and families experiencing homelessness, 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. 11431 *et seq.*);
  - (vii) Domestic violence prevention and support providers; and,
  - (viii) Other organizations or businesses that may provide support and resources to families.
- (b) Coordination with other programs and systems. A program must take an active role in promoting coordinated systems of comprehensive early childhood services to low-income children and families in their community through communication, cooperation, and the sharing of information among agencies and their community partners, while protecting the privacy of child records in accordance with subpart C of part 1303 of this chapter and applicable federal, state, local, and tribal laws.
- (1) Memorandum of understanding. To support coordination between Head Start and publicly funded preschool programs, a program must enter into a memorandum of understanding with the appropriate local entity responsible for managing publicly funded preschool programs in the service area of the program, as described in section 642(e)(5) of the Act.
  - (2) Quality Rating and Improvement Systems. A program, with the exception of American Indian and Alaska Native programs, must participate in its state or local Quality Rating and Improvement System (QRIS) if:
    - (i) Its state or local QRIS accepts Head Start monitoring data to document quality indicators included in the state's tiered system;
    - (ii) Participation would not impact a program's ability to comply with the Head Start Program Performance Standards; and,
    - (iii) The program has not provided the Office of Head Start with a compelling reason not to comply with this requirement.
  - (3) Data systems. A program, with the exception of American Indian and Alaska Native programs unless they would like to and to the extent practicable, should integrate and share relevant data with state education data systems, to the extent practicable, if the program can receive similar support and benefits as other participating early childhood programs.
  - (4) American Indian and Alaska Native programs. An American Indian and Alaska Native

program should determine whether or not it will participate in the systems described in paragraphs (b)(2) and (3) of this section.

## Subpart F — Additional Services for Children with Disabilities

### §1302.60 Full participation in program services and activities.

A program must ensure enrolled children with disabilities, including but not limited to those who are eligible for services under IDEA, and their families receive all applicable program services delivered in the least restrictive possible environment and that they fully participate in all program activities.

### §1302.61 Additional services for children.

(a) Additional services for children with disabilities. Programs must ensure the individualized needs of children with disabilities, including but not limited to those eligible for services under IDEA, are being met and all children have access to and can fully participate in the full range of activities and services. Programs must provide any necessary modifications to the environment, multiple and varied formats for instruction, and individualized accommodations and supports as necessary to support the full participation of children with disabilities. Programs must ensure all individuals with disabilities are protected from discrimination under and provided with all services and program modifications required by section 504 of the Rehabilitation Act (29 U.S.C. 794), the Americans with Disabilities Act (42 U.S.C. 12101 *et seq.*), and their implementing regulations.

(b) Services during IDEA eligibility determination. While the local agency responsible for implementing IDEA determines a child's eligibility, a program must provide individualized services and supports, to the maximum extent possible, to meet the child's needs. Such additional supports may be available through a child's health insurance or it may be appropriate or required to provide the needed services and supports under section 504 of the Rehabilitation Act if the child satisfies the definition of disability in section 705(9)(b) of the Rehabilitation Act. When such supports are not available through alternate means, pending the evaluation results and eligibility determination, a program must individualize program services based on available information such as parent input and child observation and assessment data and may use program funds for these purposes.

(c) Additional services for children with an IFSP or IEP. To ensure the individual needs of children eligible for services under IDEA are met, a program must:

(1) Work closely with the local agency responsible for implementing IDEA, the family, and other service partners, as appropriate, to ensure:

(i) Services for a child with disabilities will be planned and delivered as required by their IFSP or IEP, as appropriate;

(ii) Children are working towards the goals in their IFSP or IEP;

(iii) Elements of the IFSP or IEP that the program cannot implement are implemented by other appropriate agencies, related service providers and specialists;

- (iv) IFSPs and IEPs are being reviewed and revised, as required by IDEA; and,
  - (v) Services are provided in a child's regular Early Head Start or Head Start classroom or family child care home to the greatest extent possible.
- (2) Plan and implement the transition services described in subpart G of this part, including at a minimum:
- (i) For children with an IFSP who are transitioning out of Early Head Start, collaborate with the parents, and the local agency responsible for implementing IDEA, to ensure appropriate steps are undertaken in a timely and appropriate manner to determine the child's eligibility for services under Part B of IDEA; and,
  - (ii) For children with an IEP who are transitioning out of Head Start to kindergarten, collaborate with the parents, and the local agency responsible for implementing IDEA, to ensure steps are undertaken in a timely and appropriate manner to support the child and family as they transition to a new setting.

### **§1302.62 Additional services for parents.**

(a) Parents of all children with disabilities.

- (1) A program must collaborate with parents of children with disabilities, including but not limited to children eligible for services under IDEA, to ensure the needs of their children are being met, including support to help parents become advocates for services that meet their children's needs and information and skills to help parents understand their child's disability and how to best support the child's development;
- (2) A program must assist parents to access services and resources for their family, including securing adaptive equipment and devices and supports available through a child's health insurance or other entities, creating linkages to family support programs, and helping parents establish eligibility for additional support programs, as needed and practicable.

(b) Parents of children eligible for services under IDEA. For parents of children eligible for services under IDEA, a program must also help parents:

- (1) Understand the referral, evaluation, and service timelines required under IDEA;
- (2) Actively participate in the eligibility process and IFSP or IEP development process with the local agency responsible for implementing IDEA, including by informing parents of their right to invite the program to participate in all meetings;
- (3) Understand the purposes and results of evaluations and services provided under an IFSP or IEP; and,
- (4) Ensure their children's needs are accurately identified in, and addressed through, the IFSP or IEP.

## **§1302.63 Coordination and collaboration with the local agency responsible for implementing IDEA.**

- (a) A program must coordinate with the local agency responsible for implementing IDEA to identify children enrolled or who intend to enroll in a program that may be eligible for services under IDEA, including through the process described in §1302.33(a)(3) and through participation in the local agency Child Find efforts.
- (b) A program must work to develop interagency agreements with the local agency responsible for implementing IDEA to improve service delivery to children eligible for services under IDEA, including the referral and evaluation process, service coordination, promotion of service provision in the least restrictive appropriate community-based setting and reduction in dual enrollment which causes reduced time in a less restrictive setting, and transition services as children move from services provided under Part C of IDEA to services provided under Part B of IDEA and from pre-school to kindergarten.
- (c) A program must participate in the development of the IFSP or IEP if requested by the child's parents, and the implementation of the IFSP or IEP. At a minimum, the program must offer:
- (1) To provide relevant information from its screenings, assessments, and observations to the team developing a child's IFSP or IEP; and,
  - (2) To participate in meetings with the local agency responsible for implementing IDEA to develop or review an IEP or IFSP for a child being considered for Head Start enrollment, a currently enrolled child, or a child transitioning from a program.
- (d) A program must retain a copy of the IEP or IFSP for any child enrolled in Head Start for the time the child is in the program, consistent with the IDEA requirements in 34 CFR parts 300 and 303.

## **Subpart G — Transition Services**

### **§1302.70 Transitions from Early Head Start.**

- (a) Implementing transition strategies and practices. An Early Head Start program must implement strategies and practices to support successful transitions for children and their families transitioning out of Early Head Start.
- (b) Timing for transitions. To ensure the most appropriate placement and service following participation in Early Head Start, such programs must, at least six months prior to each child's third birthday, implement transition planning for each child and family that:
- (1) Takes into account the child's developmental level and health and disability status, progress made by the child and family while in Early Head Start, current and changing family circumstances and, the availability of Head Start, other public pre-kindergarten, and other early education and child development services in the community that will meet the needs of the child and family; and,

(2) Transitions the child into Head Start or another program as soon as possible after the child's third birthday but permits the child to remain in Early Head Start for a limited number of additional months following the child's third birthday if necessary for an appropriate transition.

(c) Family collaborations. A program must collaborate with parents of Early Head Start children to implement strategies and activities that support successful transitions from Early Head Start and, at a minimum, provide information about the child's progress during the program year and provide strategies for parents to continue their involvement in and advocacy for the education and development of their child.

(d) Early Head Start and Head Start collaboration. Early Head Start and Head Start programs must work together to maximize enrollment transitions from Early Head Start to Head Start, consistent with the eligibility provisions in subpart A, and promote successful transitions through collaboration and communication.

(e) Transition services for children with an IFSP. A program must provide additional transition services for children with an IFSP, at a minimum, as described in subpart F of this part.

## **§1302.71 Transitions from Head Start to kindergarten.**

(a) Implementing transition strategies and practices. A program that serves children who will enter kindergarten in the following year must implement transition strategies to support a successful transition to kindergarten.

(b) Family collaborations for transitions.

(1) A program must collaborate with parents of enrolled children to implement strategies and activities that will help parents advocate for and promote successful transitions to kindergarten for their children, including their continued involvement in the education and development of their child.

(2) At a minimum, such strategies and activities must:

(i) Help parents understand their child's progress during Head Start;

(ii) Help parents understand practices they use to effectively provide academic and social support for their children during their transition to kindergarten and foster their continued involvement in the education of their child;

(iii) Prepare parents to exercise their rights and responsibilities concerning the education of their children in the elementary school setting, including services and supports available to children with disabilities and various options for their child to participate in language instruction educational programs; and,

(iv) Assist parents in the ongoing communication with teachers and other school personnel so that parents can participate in decisions related to their children's education.

(c) Community collaborations for transitions. (1) A program must collaborate with local education agencies to support family engagement under section 642(b)(13) of the Act and state departments

of education, as appropriate, and kindergarten teachers to implement strategies and activities that promote successful transitions to kindergarten for children, their families, and the elementary school.

(2) At a minimum, such strategies and activities must include:

- (i) Coordination with schools or other appropriate agencies to ensure children's relevant records are transferred to the school or next placement in which a child will enroll, consistent with privacy requirements in subpart C of part 1303 of this chapter;
- (ii) Communication between appropriate staff and their counterparts in the schools to facilitate continuity of learning and development, consistent with privacy requirements in subpart C of part 1303 of this chapter; and,
- (iii) Participation, as possible, for joint training and professional development activities for Head Start and kindergarten teachers and staff.

(3) A program that does not operate during the summer must collaborate with school districts to determine the availability of summer school programming for children who will be entering kindergarten and work with parents and school districts to enroll children in such programs, as appropriate.

(d) Learning environment activities. A program must implement strategies and activities in the learning environment that promote successful transitions to kindergarten for enrolled children, and at a minimum, include approaches that familiarize children with the transition to kindergarten and foster confidence about such transition.

(e) Transition services for children with an IEP. A program must provide additional transition services for children with an IEP, at a minimum, as described in subpart F of this part.

### **§1302.72 Transitions between programs.**

(a) For families and children who move out of the community in which they are currently served, including homeless families and foster children, a program must undertake efforts to support effective transitions to other Early Head Start or Head Start programs. If Early Head Start or Head Start is not available, the program should assist the family to identify another early childhood program that meets their needs.

(b) A program that serves children whose families have decided to transition them to other early education programs, including public pre-kindergarten, in the year prior to kindergarten entry must undertake strategies and activities described in §1302.71(b) and (c)(1) and (2), as practicable and appropriate.

(c) A migrant or seasonal Head Start program must undertake efforts to support effective transitions to other migrant or seasonal Head Start or, if appropriate, Early Head Start or Head Start programs for families and children moving out of the community in which they are currently served.

## Subpart H — Services to Enrolled Pregnant Women

### §1302.80 Enrolled pregnant women.

- (a) Within 30 days of enrollment, a program must determine whether each enrolled pregnant woman has an ongoing source of continuous, accessible health care – provided by a health care professional that maintains her ongoing health record and is not primarily a source of emergency or urgent care – and, as appropriate, health insurance coverage.
- (b) If an enrolled pregnant woman does not have a source of ongoing care as described in paragraph (a) of this section and, as appropriate, health insurance coverage, a program must, as quickly as possible, facilitate her access to such a source of care that will meet her needs.
- (c) A program must facilitate the ability of all enrolled pregnant women to access comprehensive services through referrals that, at a minimum, include nutritional counseling, food assistance, oral health care, mental health services, substance abuse prevention and treatment, and emergency shelter or transitional housing in cases of domestic violence.
- (d) A program must provide a newborn visit with each mother and baby to offer support and identify family needs. A program must schedule the newborn visit within two weeks after the infant's birth.

### §1302.81 Prenatal and postpartum information, education, and services.

- (a) A program must provide enrolled pregnant women, fathers, and partners or other relevant family members the prenatal and postpartum information, education and services that address, as appropriate, fetal development, the importance of nutrition, the risks of alcohol, drugs, and smoking, labor and delivery, postpartum recovery, parental depression, infant care and safe sleep practices, and the benefits of breastfeeding.
- (b) A program must also address needs for appropriate supports for emotional well-being, nurturing and responsive caregiving, and father engagement during pregnancy and early childhood.

### §1302.82 Family partnership services for enrolled pregnant women.

- (a) A program must engage enrolled pregnant women and other relevant family members, such as fathers, in the family partnership services as described in §1302.52 and include a specific focus on factors that influence prenatal and postpartum maternal and infant health.
- (b) A program must engage enrolled pregnant women and other relevant family members, such as fathers, in discussions about program options, plan for the infant's transition to program enrollment, and support the family during the transition process, where appropriate.

## Subpart I — Human Resources Management

### §1302.90 Personnel policies.

(a) Establishing personnel policies and procedures. A program must establish written personnel policies and procedures that are approved by the governing body and policy council or policy committee and that are available to all staff.

(b) Background checks and selection procedures.

(1) Before a person is hired, directly or through contract, including transportation staff and contractors, a program must conduct an interview, verify references, conduct a sex offender registry check and obtain one of the following:

- (i) State or tribal criminal history records, including fingerprint checks; or,
- (ii) Federal Bureau of Investigation criminal history records, including fingerprint checks.

(2) A program has 90 days after an employee is hired to complete the background check process by obtaining:

- (i) Whichever check listed in paragraph (b)(1) of this section was not obtained prior to the date of hire; and,
- (ii) Child abuse and neglect state registry check, if available.

(3) A program must review the information found in each employment application and complete background check to assess the relevancy of any issue uncovered by the complete background check including any arrest, pending criminal charge, or conviction and must use Child Care and Development Fund (CCDF) disqualification factors described in 42 U.S.C. 9858f(c)(1)(D) and 42 U.S.C. 9858f(h)(1) or tribal disqualifications factors to determine whether the prospective employee can be hired or the current employee must be terminated.

(4) A program must ensure a newly hired employee, consultant, or contractor does not have unsupervised access to children until the complete background check process described in paragraphs (b)(1) through (3) of this section is complete.

(5) A program must conduct the complete background check for each employee, consultant, or contractor at least once every five years which must include each of the four checks listed in paragraphs (b)(1) and (2) of this section, and review and make employment decisions based on the information as described in paragraph (b)(3) of this section, unless the program can demonstrate to the responsible HHS official that it has a more stringent system in place that will ensure child safety.

(6) A program must consider current and former program parents for employment vacancies for which such parents apply and are qualified.

(c) Standards of conduct.

(1) A program must ensure all staff, consultants, contractors, and volunteers abide by the program's standards of conduct that:

- (i) Ensure staff, consultants, contractors, and volunteers implement positive strategies to support children's well-being and prevent and address challenging behavior;
- (ii) Ensure staff, consultants, contractors, and volunteers do not maltreat or endanger the health or safety of children, including, at a minimum, that staff must not:
  - (A) Use corporal punishment;
  - (B) Use isolation to discipline a child;
  - (C) Bind or tie a child to restrict movement or tape a child's mouth;
  - (D) Use or withhold food as a punishment or reward;
  - (E) Use toilet learning/training methods that punish, demean, or humiliate a child;
  - (F) Use any form of emotional abuse, including public or private humiliation, rejecting, terrorizing, extended ignoring, or corrupting a child;
  - (G) Physically abuse a child;
  - (H) Use any form of verbal abuse, including profane, sarcastic language, threats, or derogatory remarks about the child or child's family; or,
  - (I) Use physical activity or outdoor time as a punishment or reward;
- (iii) Ensure staff, consultants, contractors, and volunteers respect and promote the unique identity of each child and family and do not stereotype on any basis, including gender, race, ethnicity, culture, religion, disability, sexual orientation, or family composition;
- (iv) Require staff, consultants, contractors, and volunteers to comply with program confidentiality policies concerning personally identifiable information about children, families, and other staff members in accordance with subpart C of part 1303 of this chapter and applicable federal, state, local, and tribal laws; and,
- (v) Ensure no child is left alone or unsupervised by staff, consultants, contractors, or volunteers while under their care.

(2) Personnel policies and procedures must include appropriate penalties for staff, consultants, and volunteers who violate the standards of conduct.

(d) Communication with dual language learners and their families.

(1) A program must ensure staff and program consultants or contractors are familiar with the ethnic backgrounds and heritages of families in the program and are able to serve and effectively communicate, either directly or through interpretation and translation, with children who are dual language learners and to the extent feasible, with families with limited English proficiency.

- (2) If a majority of children in a class or home-based program speak the same language, at least one class staff member or home visitor must speak such language.

### **§1302.91 Staff qualifications and competency requirements.**

(a) Purpose. A program must ensure all staff, consultants, and contractors engaged in the delivery of program services have sufficient knowledge, training and experience, and competencies to fulfill the roles and responsibilities of their positions and to ensure high-quality service delivery in accordance with the program performance standards. A program must provide ongoing training and professional development to support staff in fulfilling their roles and responsibilities.

(b) Early Head Start or Head Start director. A program must ensure an Early Head Start or Head Start director hired after November 7, 2016, has, at a minimum, a baccalaureate degree and experience in supervision of staff, fiscal management, and administration.

(c) Fiscal officer. A program must assess staffing needs in consideration of the fiscal complexity of the organization and applicable financial management requirements and secure the regularly scheduled or ongoing services of a fiscal officer with sufficient education and experience to meet their needs. A program must ensure a fiscal officer hired after November 7, 2016, is a certified public accountant or has, at a minimum, a baccalaureate degree in accounting, business, fiscal management, or a related field.

(d) Child and family services management staff qualification requirements.

(1) Family, health, and disabilities management. A program must ensure staff responsible for management and oversight of family services, health services, and services to children with disabilities hired after November 7, 2016 have, at a minimum, a baccalaureate degree, preferably related to one or more of the disciplines they oversee.

(2) Education management. As prescribed in section 648A(a)(2)(B)(i) of the Act, a program must ensure staff and consultants that serve as education managers or coordinators, including those that serve as curriculum specialists, have a baccalaureate or advanced degree in early childhood education or a baccalaureate or advanced degree and equivalent coursework in early childhood education with early education teaching experience.

(e) Child and family services staff.

(1) Early Head Start center-based teacher qualification requirements. As prescribed in section 645A(h) of the Act, a program must ensure center-based teachers that provide direct services to infants and toddlers in Early Head Start centers have a minimum of a Child Development Associate (CDA) credential or comparable credential, and have been trained or have equivalent coursework in early childhood development with a focus on infant and toddler development.

(2) Head Start center-based teacher qualification requirements.

(i) The Secretary must ensure no less than fifty percent of all Head Start teachers, nationwide, have a baccalaureate degree in child development, early childhood education, or equivalent coursework.

- (ii) As prescribed in section 648A(a)(3)(B) of the Act, a program must ensure all center-based teachers have at least an associate's or bachelor's degree in child development or early childhood education, equivalent coursework, or otherwise meet the requirements of section 648A(a)(3)(B) of the Act.
- (3) Head Start assistant teacher qualification requirements. As prescribed in section 648A(a)(2)(B)(ii) of the Act, a program must ensure Head Start assistant teachers, at a minimum, have a CDA credential or a state-awarded certificate that meets or exceeds the requirements for a CDA credential, are enrolled in a program that will lead to an associate or baccalaureate degree or, are enrolled in a CDA credential program to be completed within two years of the time of hire.
- (4) Family child care provider qualification requirements.
- (i) A program must ensure family child care providers have previous early child care experience and, at a minimum, are enrolled in a Family Child Care CDA program or state equivalent, or an associate's or baccalaureate degree program in child development or early childhood education prior to beginning service provision, and for the credential acquire it within eighteen months of beginning to provide services.
- (ii) By August 1, 2018, a child development specialist, as required for family child care in §1302.23(e), must have, at a minimum, a baccalaureate degree in child development, early childhood education, or a related field.
- (5) Center-based teachers, assistant teachers, and family child care provider competencies. A program must ensure center-based teachers, assistant teachers, and family child care providers demonstrate competency to provide effective and nurturing teacher-child interactions, plan and implement learning experiences that ensure effective curriculum implementation and use of assessment and promote children's progress across the standards described in the Head Start Early Learning Outcomes Framework: Ages Birth to Five and applicable state early learning and development standards, including for children with disabilities and dual language learners, as appropriate.
- (6) Home visitors. A program must ensure home visitors providing home-based education services:
- (i) Have a minimum of a home-based CDA credential or comparable credential, or equivalent coursework as part of an associate's or bachelor's degree; and,
- (ii) Demonstrate competency to plan and implement home-based learning experiences that ensure effective implementation of the home visiting curriculum and promote children's progress across the standards described in the Head Start Early Learning Outcomes Framework: Ages Birth to Five, including for children with disabilities and dual language learners, as appropriate, and to build respectful, culturally responsive, and trusting relationships with families.
- (7) Family services staff qualification requirements. A program must ensure staff who work directly with families on the family partnership process hired after November 7, 2016, have

within eighteen months of hire, at a minimum, a credential or certification in social work, human services, family services, counseling or a related field.

(8) Health professional qualification requirements.

- (i) A program must ensure health procedures are performed only by a licensed or certified health professional.
- (ii) A program must ensure all mental health consultants are licensed or certified mental health professionals. A program must use mental health consultants with knowledge of and experience in serving young children and their families, if available in the community.
- (iii) A program must use staff or consultants to support nutrition services who are registered dietitians or nutritionists with appropriate qualifications.

(f) Coaches. A program must ensure coaches providing the services described in 1302.92(c) have a minimum of a baccalaureate degree in early childhood education or a related field.

### **§1302.92 Training and professional development.**

(a) A program must provide to all new staff, consultants, and volunteers an orientation that focuses on, at a minimum, the goals and underlying philosophy of the program and on the ways they are implemented.

(b) A program must establish and implement a systematic approach to staff training and professional development designed to assist staff in acquiring or increasing the knowledge and skills needed to provide high-quality, comprehensive services within the scope of their job responsibilities, and attached to academic credit as appropriate. At a minimum, the system must include:

- (1) Staff completing a minimum of 15 clock hours of professional development per year. For teaching staff, such professional development must meet the requirements described in section 648A(a)(5) of the Act.
- (2) Training on methods to handle suspected or known child abuse and neglect cases, that comply with applicable federal, state, local, and tribal laws;
- (3) Training for child and family services staff on best practices for implementing family engagement strategies in a systemic way, as described throughout this part;
- (4) Training for child and family services staff, including staff that work on family services, health, and disabilities, that builds their knowledge, experience, and competencies to improve child and family outcomes; and,
- (5) Research-based approaches to professional development for education staff, that are focused on effective curricula implementation, knowledge of the content in Head Start Early Learning Outcomes Framework: Ages Birth to Five, partnering with families, supporting children with disabilities and their families, providing effective and nurturing adult-child interactions, supporting dual language learners as appropriate, addressing challenging behaviors,

preparing children and families for transitions (as described in subpart G of this part), and use of data to individualize learning experiences to improve outcomes for all children.

(c) A program must implement a research-based, coordinated coaching strategy for education staff that:

- (1) Assesses all education staff to identify strengths, areas of needed support, and which staff would benefit most from intensive coaching;
- (2) At a minimum, provides opportunities for intensive coaching to those education staff identified through the process in paragraph (c)(1) of this section, including opportunities to be observed and receive feedback and modeling of effective teacher practices directly related to program performance goals;
- (3) At a minimum, provides opportunities for education staff not identified for intensive coaching through the process in paragraph (c)(1) of this section to receive other forms of research-based professional development aligned with program performance goals;
- (4) Ensures intensive coaching opportunities for the staff identified through the process in paragraph (c)(1) of this section that:
  - (i) Align with the program's school readiness goals, curricula, and other approaches to professional development;
  - (ii) Utilize a coach with adequate training and experience in adult learning and in using assessment data to drive coaching strategies aligned with program performance goals;
  - (iii) Provide ongoing communication between the coach, program director, education director, and any other relevant staff; and,
  - (iv) Include clearly articulated goals informed by the program's goals, as described in §1302.102, and a process for achieving those goals; and,
- (5) Establishes policies that ensure assessment results are not used to solely determine punitive actions for staff identified as needing support, without providing time and resources for staff to improve.

(d) If a program needs to develop or significantly adapt their approach to research-based professional development to better meet the training needs of education staff, such that it does not include the requirements in paragraph (c) of this section, the program must partner with external early childhood education professional development experts. A program must assess whether the adaptation adequately supports staff professional development, consistent with the process laid out in subpart J of this part.

### **§1302.93 Staff health and wellness.**

(a) A program must ensure each staff member has an initial health examination and a periodic re-examination as recommended by their health care provider in accordance with state, tribal, or local requirements, that include screeners or tests for communicable diseases, as appropriate. The program must ensure staff do not, because of communicable diseases, pose a significant risk to the health or

safety of others in the program that cannot be eliminated or reduced by reasonable accommodation, in accordance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act.

(b) A program must make mental health and wellness information available to staff regarding health issues that may affect their job performance, and must provide regularly scheduled opportunities to learn about mental health, wellness, and health education.

### **§1302.94 Volunteers.**

(a) A program must ensure regular volunteers have been screened for appropriate communicable diseases in accordance with state, tribal or local laws. In the absence of state, tribal or local law, the Health Services Advisory Committee must be consulted regarding the need for such screenings.

(b) A program must ensure children are never left alone with volunteers.

## **Subpart J — Program Management and Quality Improvement**

### **§1302.100 Purpose.**

A program must provide management and a process of ongoing monitoring and continuous improvement for achieving program goals that ensures child safety and the delivery of effective, high-quality program services.

### **§1302.101 Management system.**

(a) Implementation. A program must implement a management system that:

(1) Ensures a program, fiscal, and human resource management structure that provides effective management and oversight of all program areas and fiduciary responsibilities to enable delivery of high-quality services in all of the program services described in subparts C, D, E, F, G, and H of this part;

(2) Provides regular and ongoing supervision to support individual staff professional development and continuous program quality improvement;

(3) Ensures budget and staffing patterns that promote continuity of care for all children enrolled, allow sufficient time for staff to participate in appropriate training and professional development, and allow for provision of the full range of services described in subparts C, D, E, F, G, and H of this part; and,

(4) Maintains an automated accounting and record keeping system adequate for effective oversight.

(b) Coordinated approaches. At the beginning of each program year, and on an ongoing basis throughout the year, a program must design and implement program-wide coordinated approaches that ensure:

- (1) The training and professional development system, as described in §1302.92, effectively supports the delivery and continuous improvement of high-quality services;
- (2) The full and effective participation of children who are dual language learners and their families, by
  - (i) Utilizing information from the program’s community assessment about the languages spoken throughout the program service area to anticipate child and family needs;
  - (ii) Identifying community resources and establishing ongoing collaborative relationships and partnerships with community organizations consistent with the requirements in §1302.53(a); and,
  - (iii) Systematically and comprehensively addressing child and family needs by facilitating meaningful access to program services, including, at a minimum, curriculum, instruction, staffing, supervision, and family partnerships with bilingual staff, oral language assistance and interpretation, or translation of essential program materials, as appropriate.
- (3) The full and effective participation of all children with disabilities, including but not limited to children eligible for services under IDEA, by providing services with appropriate facilities, program materials, curriculum, instruction, staffing, supervision, and partnerships, at a minimum, consistent with section 504 of the Rehabilitation Act and the Americans with Disabilities Act; and,
- (4) The management of program data to effectively support the availability, usability, integrity, and security of data. A program must establish procedures on data management, and have them approved by the governing body and policy council, in areas such as quality of data and effective use and sharing of data, while protecting the privacy of child records in accordance with subpart C of part 1303 of this chapter and applicable federal, state, local, and tribal laws.

### **§1302.102 Achieving program goals.**

- (a) Establishing program goals. A program, in collaboration with the governing body and policy council, must establish goals and measurable objectives that include:
  - (1) Strategic long-term goals for ensuring programs are and remain responsive to community needs as identified in their community assessment as described in subpart A of this part;
  - (2) Goals for the provision of educational, health, nutritional, and family and community engagement program services as described in the program performance standards to further promote the school readiness of enrolled children;
  - (3) School readiness goals that are aligned with the Head Start Early Learning Outcomes Framework: Ages Birth to Five, state and tribal early learning standards, as appropriate, and requirements and expectations of schools Head Start children will attend, per the requirements of subpart B of part 1304 of this part; and,
  - (4) Effective health and safety practices to ensure children are safe at all times, per the require-

ments in §§1302.47, 1302.90(b) and (c), 1302.92(c)(1), and 1302.94 and part 1303 subpart F, of this chapter.

(b) Monitoring program performance.

(1) Ongoing compliance oversight and correction. In order to ensure effective ongoing oversight and correction, a program must establish and implement a system of ongoing oversight that ensures effective implementation of the program performance standards, including ensuring child safety, and other applicable federal regulations as described in this part, and must:

- (i) Collect and use data to inform this process;
- (ii) Correct quality and compliance issues immediately, or as quickly as possible;
- (iii) Work with the governing body and the policy council to address issues during the ongoing oversight and correction process and during federal oversight; and,
- (iv) Implement procedures that prevent recurrence of previous quality and compliance issues, including previously identified deficiencies, safety incidents, and audit findings.

(2) Ongoing assessment of program goals. A program must effectively oversee progress towards program goals on an ongoing basis and annually must:

- (i) Conduct a self-assessment that uses program data including aggregated child assessment data, and professional development and parent and family engagement data as appropriate, to evaluate the program's progress towards meeting goals established under paragraph (a) of this section, compliance with program performance standards throughout the program year, and the effectiveness of the professional development and family engagement systems in promoting school readiness;
- (ii) Communicate and collaborate with the governing body and policy council, program staff, and parents of enrolled children when conducting the annual self-assessment; and,
- (iii) Submit findings of the self-assessment, including information listed in paragraph (b) (2)(i) of this section to the responsible HHS official.

(c) Using data for continuous improvement.

(1) A program must implement a process for using data to identify program strengths and needs, develop and implement plans that address program needs, and continually evaluate compliance with program performance standards and progress towards achieving program goals described in paragraph (a) of this section.

(2) This process must:

- (i) Ensure data is aggregated, analyzed and compared in such a way to assist agencies in identifying risks and informing strategies for continuous improvement in all program service areas;
- (ii) Ensure child-level assessment data is aggregated and analyzed at least three times a year, including for sub-groups, such as dual language learners and children with disabil-

ities, as appropriate, except in programs operating fewer than 90 days, and used with other program data described in paragraph (c)(2)(iv) of this section to direct continuous improvement related to curriculum choice and implementation, teaching practices, professional development, program design and other program decisions, including changing or targeting scope of services; and,

(iii) For programs operating fewer than 90 days, ensures child assessment data is aggregated and analyzed at least twice during the program operating period, including for subgroups, such as dual language learners and children with disabilities, as appropriate, and used with other program data described in paragraph (c)(2)(iv) of this section to direct continuous improvement related to curriculum choice and implementation, teaching practices, professional development, program design and other program decisions, including changing or targeting scope of services;

(iv) Use information from ongoing monitoring and the annual self-assessment, and program data on teaching practice, staffing and professional development, child-level assessments, family needs assessments, and comprehensive services, to identify program needs, and develop and implement plans for program improvement; and,

(v) Use program improvement plans as needed to either strengthen or adjust content and strategies for professional development, change program scope and services, refine school readiness and other program goals, and adapt strategies to better address the needs of sub-groups.

(d) Reporting.

(1) A program must submit:

(i) Status reports, determined by ongoing oversight data, to the governing body and policy council, at least semi-annually;

(ii) Reports, as appropriate, to the responsible HHS official immediately or as soon as practicable, related to any significant incidents affecting the health and safety of program participants, circumstances affecting the financial viability of the program, breaches of personally identifiable information, or program involvement in legal proceedings, any matter for which notification or a report to state, tribal, or local authorities is required by applicable law, including at a minimum:

(A) Any reports regarding agency staff or volunteer compliance with federal, state, tribal, or local laws addressing child abuse and neglect or laws governing sex offenders;

(B) Incidents that require classrooms or centers to be closed for any reason;

(C) Legal proceedings by any party that are directly related to program operations; and,

(D) All conditions required to be reported under §1304.12, including disqualification from the Child and Adult Care Food Program (CACFP) and license revocation.

(2) Annually, a program must publish and disseminate a report that complies with section 644(a)(2) of the Act and includes a summary of a program's most recent community assessment, as described in §1302.11(b), consistent with privacy protections in subpart C of part 1303 of this chapter.

(3) If a program has had a deficiency identified, it must submit, to the responsible HHS official, a quality improvement plan as required in section 641A(e)(2) of the Act.

### **§1302.103 Implementation of program performance standards.**

(a) A current program at of November 7, 2016, must implement a program-wide approach for the effective and timely implementation of the changes to the program performance standards, including the purchase of materials and allocation of staff time, as appropriate.

(b) A program's approach to implement the changes included in parts 1301 through 1304 of this chapter must ensure adequate preparation for effective and timely service delivery to children and their families including, at a minimum, review of community assessment data to determine the most appropriate strategy for implementing required program changes, including assessing any changes in the number of children who can be served, as necessary, the purchase of and training on any curriculum, assessment, or other materials, as needed, assessment of program-wide professional development needs, assessment of staffing patterns, the development of coordinated approaches described in §1302.101(b), and the development of appropriate protections for data sharing; and children enrolled in the program on November 7, 2016 are not displaced during a program year and that children leaving Early Head Start or Head Start at the end of the program year following November 7, 2016 as a result of any slot reductions received services described in §§1302.70 and 1302.72 to facilitate successful transitions to other programs.

## **Part 1303 — Financial and Administrative Requirements**

Sec.

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AUTHORITY: 42 U.S.C. 9801 *et seq.*

## **§1303.I Overview.**

Section 641A of the Act requires that the Secretary modify as necessary program performance standards including administrative and financial management standards (section 641A(a)(1)(C)). This part specifies the financial and administrative requirements of agencies. Subpart A of this part outlines the financial requirements consistent with sections 640(b) and 644(b) and (c) of the Act. Subpart B of this part specifies the administrative requirements consistent with sections 644(a)(1),

## §1303.2

644(e), 653, 654, 655, 656, and 657A of the Act. Subpart C of this part implements the statutory provision at section 641A(b)(4) of the Act that directs the Secretary to ensure the confidentiality of any personally identifiable data, information, and records collected or maintained. Subpart D of this part prescribes regulations for the operation of delegate agencies consistent with Section 641(A)(d). Subpart E of this part implements the statutory requirements in Section 644(c), (f) and (g) related to facilities. Subpart F prescribes regulations on transportation consistent with section 640(i) of the Act.

## Subpart A — Financial Requirements

### §1303.2 Purpose.

This subpart establishes regulations applicable to program administration and grants management for all grants under the Act.

### §1303.3 Other requirements.

The following chart includes HHS regulations that apply to all grants made under the Act:

| Cite           | Title                                                                                                                                                                               |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 45 CFR part 16 | Department grant appeals process                                                                                                                                                    |
| 45 CFR part 30 | HHS Standards and Procedures for Claims collection                                                                                                                                  |
| 45 CFR part 46 | Protection of human subjects                                                                                                                                                        |
| 45 CFR part 75 | Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards                                                                                     |
| 45 CFR part 80 | Nondiscrimination under programs receiving federal assistance through the Department of Health and Human Services- Effectuation of title VI and VII of the Civil Rights Act of 1964 |
| 45 CFR part 81 | Practice and procedure for hearings under part 80                                                                                                                                   |
| 45 CFR part 84 | Nondiscrimination on the basis of handicap in federally assisted programs                                                                                                           |
| 45 CFR part 87 | Equal treatment for faith based organizations                                                                                                                                       |
| 2 CFR part 170 | FFATA Sub-award and executive compensation                                                                                                                                          |
| 2 CFR 25.110   | CCR/DUNS requirement                                                                                                                                                                |

### §1303.4 Federal financial assistance, non-federal match, and waiver requirements.

In accordance with section 640(b) of the Act, federal financial assistance to a grantee will not exceed 80 percent of the approved total program costs. A grantee must contribute 20 percent as non-federal match each budget period. The responsible HHS official may approve a waiver of all or a portion of the non-federal match requirement on the basis of the grantee's written application submitted for the budget period and any supporting evidence the responsible HHS official requires. In deciding

whether to grant a waiver, the responsible HHS official will consider the circumstances specified at section 640(b) of the Act and whether the grantee has made a reasonable effort to comply with the non-federal match requirement.

### **§1303.5 Limitations on development and administrative costs.**

(a) Limitations.

(1) Costs to develop and administer a program cannot be excessive or exceed 15 percent of the total approved program costs. Allowable costs to develop and administer a Head Start program cannot exceed 15 percent of the total approved program costs, which includes both federal costs and non-federal match, unless the responsible HHS official grants a waiver under paragraph (b) of this section that approves a higher percentage in order to carry out the purposes of the Act.

(2) To assess total program costs and determine whether a grantee meets this requirement, the grantee must:

- (i) Determine the costs to develop and administer its program, including the local costs of necessary resources;
- (ii) Categorize total costs as development and administrative or program costs;
- (iii) Identify and allocate the portion of dual benefits costs that are for development and administration;
- (iv) Identify and allocate the portion of indirect costs that are for development and administration versus program costs; and,
- (v) Delineate all development and administrative costs in the grant application and calculate the percentage of total approved costs allocated to development and administration.

(b) Waivers.

(1) The responsible HHS official may grant a waiver for each budget period if a delay or disruption to program services is caused by circumstances beyond the agency's control, or if an agency is unable to administer the program within the 15 percent limitation and if the agency can demonstrate efforts to reduce its development and administrative costs.

(2) If at any time within the grant funding cycle, a grantee estimates development and administration costs will exceed 15 percent of total approved costs, it must submit a waiver request to the responsible HHS official that explains why costs exceed the limit, that indicates the time period the waiver will cover, and that describes what the grantee will do to reduce its development and administrative costs to comply with the 15 percent limit after the waiver period.

## Subpart B — Administrative Requirements

### §1303.10 Purpose.

A grantee must 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 the Act and the objective of providing assistance effectively, efficiently, and free of any taint of partisan political bias or personal or family favoritism.

### §1303.11 Limitations and prohibitions.

An agency must adhere to sections 644(e), 644(g)(3), 653, 654, 655, 656, and 657A of the Act. These sections pertain to union organizing, the Davis-Bacon Act, limitations on compensation, non-discrimination, unlawful activities, political activities, and obtaining parental consent.

### §1303.12 Insurance and bonding.

An agency must have an ongoing process to identify risks and have cost-effective insurance for those identified risks; a grantee must require the same for its delegates. The agency must specifically consider the risk of accidental injury to children while participating in the program. The grantee must submit proof of appropriate coverage in its initial application for funding. The process of identifying risks must also consider the risk of losses resulting from fraudulent acts by individuals authorized to disburse Head Start funds. Consistent with 45 CFR part 75, if the agency lacks sufficient coverage to protect the federal government's interest, the agency must maintain adequate fidelity bond coverage.

## Subpart C — Protections for the Privacy of Child Records

### §1303.20 Establishing procedures.

A program must establish procedures to protect the confidentiality of any personally identifiable information (PII) in child records.

### §1303.21 Program procedures – applicable confidentiality provisions.

(a) If a program is an educational agency or institution that receives funds under a program administered by the Department of Education and therefore is subject to the confidentiality provisions under the Family Educational Rights and Privacy Act (FERPA), then it must comply with those confidentiality provisions of FERPA instead of the provisions in this subpart.

(b) If a program serves a child who is referred to, or found eligible for services under, IDEA, then a program must comply with the applicable confidentiality provisions in Part B or Part C of IDEA to protect the PII in records of those children, and, therefore, the provisions in this subpart do not apply to those children.

## §1303.22 Disclosures with, and without, parental consent.

### (a) Disclosure with parental consent.

(1) Subject to the exceptions in paragraphs (b) and (c) of this section, the procedures to protect PII must require the program to obtain a parent's written consent before the program may disclose such PII from child records.

(2) The procedures to protect PII must require the program to ensure the parent's written consent specifies what child records may be disclosed, explains why the records will be disclosed, and identifies the party or class of parties to whom the records may be disclosed. The written consent must be signed and dated.

(3) "Signed and dated written consent" under this part may include a record and signature in electronic form that:

- (i) Identifies and authenticates a particular person as the source of the electronic consent; and,
- (ii) Indicates such person's approval of the information.

(4) The program must explain to the parent that the granting of consent is voluntary on the part of the parent and may be revoked at any time. If a parent revokes consent, that revocation is not retroactive and therefore it does not apply to an action that occurred before the consent was revoked.

(b) Disclosure without parental consent but with parental notice and opportunity to refuse. The procedures to protect PII must allow the program to disclose such PII from child records without parental consent if the program notifies the parent about the disclosure, provides the parent, upon the parent's request, a copy of the PII from child records to be disclosed in advance, and gives the parent an opportunity to challenge and refuse disclosure of the information in the records, before the program forwards the records to officials at a program, school, or school district in which the child seeks or intends to enroll or where the child is already enrolled so long as the disclosure is related to the child's enrollment or transfer.

(c) Disclosure without parental consent. The procedures to protect PII must allow the program to disclose such PII from child records without parental consent to:

- (1) Officials within the program or acting for the program, such as contractors and subrecipients, if the official provides services for which the program would otherwise use employees, the program determines it is necessary for Head Start services, and the program maintains oversight with respect to the use, further disclosure, and maintenance of child records, such as through a written agreement;
- (2) Officials within the program, acting for the program, or from a federal or state entity, in connection with an audit or evaluation of education or child development programs, or for enforcement of or compliance with federal legal requirements of the program; provided the program maintains oversight with respect to the use, further disclosure, and maintenance of child records, such as through a written agreement, including the destruction of the PII when

no longer needed for the purpose of the disclosure, except when the disclosure is specifically authorized by federal law or by the responsible HHS official;

- (3) Officials within the program, acting for the program, or from a federal or state entity, to conduct a study to improve child and family outcomes, including improving the quality of programs, for, or on behalf of, the program, provided the program maintains oversight with respect to the use, further disclosure, and maintenance of child records, such as through a written agreement, including the destruction of the PII when no longer needed for the purpose of the disclosure;
- (4) Appropriate parties in order to address a disaster, health or safety emergency during the period of the emergency, or a serious health and safety risk such as a serious food allergy, if the program determines that disclosing the PII from child records is necessary to protect the health or safety of children or other persons;
- (5) Comply with a judicial order or lawfully issued subpoena, provided the program makes a reasonable effort to notify the parent about all such subpoenas and court orders in advance of the compliance therewith, unless:
  - (i) A court has ordered that neither the subpoena, its contents, nor the information provided in response be disclosed;
  - (ii) The disclosure is in compliance with an ex parte court order obtained by the United States Attorney General (or designee not lower than an Assistant Attorney General) concerning investigations or prosecutions of an offense listed in 18 U.S.C. 2332b(g)(5)(B) or an act of domestic or international terrorism as defined in 18 U.S.C. 2331.
  - (iii) A parent is a party to a court proceeding directly involving child abuse and neglect (as defined in section 3 of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5101)) or dependency matters, and the order is issued in the context of that proceeding, additional notice to the parent by the program is not required; or,
  - (iv) A program initiates legal action against a parent or a parent initiates legal action against a program, then a program may disclose to the court, also without a court order or subpoena, the child records relevant for the program to act as plaintiff or defendant.
- (6) The Secretary of Agriculture or an authorized representative from the Food and Nutrition Service to conduct program monitoring, evaluations, and performance measurements for the Child and Adult Care Food Program under the Richard B. Russell National School Lunch Act or the Child Nutrition Act of 1966, if the results will be reported in an aggregate form that does not identify any individual: provided, that any data collected must be protected in a manner that will not permit the personal identification of students and their parents by other than the authorized representatives of the Secretary of Agriculture and any PII must be destroyed when the data are no longer needed for program monitoring, evaluations, and performance measurements;
- (7) A caseworker or other representative from a state, local, or tribal child welfare agency, who has the right to access a case plan for a child who is in foster care placement, when such agency is legally responsible for the child's care and protection, under state or tribal law, if the agen-

cy agrees in writing to protect PII, to use information from the child's case plan for specific purposes intended of addressing the child's needs, and to destroy information that is no longer needed for those purposes; and,

(8) Appropriate parties in order to address suspected or known child maltreatment and is consistent with applicable federal, state, local, and tribal laws on reporting child abuse and neglect.

(d) Written agreements. When a program establishes a written agreement with a third party, the procedures to protect such PII must require the program to annually review and, if necessary, update the agreement. If the third party violates the agreement, then the program may:

(1) Provide the third party an opportunity to self-correct; or,

(2) Prohibit the third party from access to records for a set period of time as established by the programs governing body and policy council.

(e) Annual notice. The procedures to protect PII must require the program to annually notify parents of their rights in writing described in this subpart and applicable definitions in part 1305 of this chapter, and include in that notice a description of the types of PII that may be disclosed, to whom the PII may be disclosed, and what may constitute a necessary reason for the disclosure without parental consent as described in paragraph (c) of this section.

(f) Limit on disclosing PII. A program must only disclose the information that is deemed necessary for the purpose of the disclosure.

### **§1303.23 Parental rights.**

(a) Inspect record.

(1) A parent has the right to inspect child records.

(2) If the parent requests to inspect child records, the program must make the child records available within a reasonable time, but no more than 45 days after receipt of request.

(3) If a program maintains child records that contain information on more than one child, the program must ensure the parent only inspects information that pertains to the parent's child.

(4) The program shall not destroy a child record with an outstanding request to inspect and review the record under this section.

(b) Amend record.

(1) A parent has the right to ask the program to amend information in the child record that the parent believes is inaccurate, misleading, or violates the child's privacy.

(2) The program must consider the parent's request and, if the request is denied, render a written decision to the parent within a reasonable time that informs the parent of the right to a hearing.

(c) Hearing.

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- (1) If the parent requests a hearing to challenge information in the child record, the program must schedule a hearing within a reasonable time, notify the parent, in advance, about the hearing, and ensure the person who conducts the hearing does not have a direct interest in its outcome.
- (2) The program must ensure the hearing affords the parent a full and fair opportunity to present evidence relevant to the issues.
- (3) If the program determines from evidence presented at the hearing that the information in the child records is inaccurate, misleading, or violates the child's privacy, the program must either amend or remove the information and notify the parent in writing.
- (4) If the program determines from evidence presented at the hearing that information in the child records is accurate, does not mislead, or otherwise does not violate the child's privacy, the program must inform the parent of the right to place a statement in the child records that either comments on the contested information or that states why the parent disagrees with the program's decision, or both.

(d) Right to copy of record. The program must provide a parent, free of charge, an initial copy of child records disclosed to third parties with parental consent and, upon parent request, an initial copy of child records disclosed to third parties, unless the disclosure was for a court that ordered neither the subpoena, its contents, nor the information furnished in response be disclosed.

(e) Right to inspect written agreements. A parent has the right to review any written agreements with third parties.

### §1303.24 Maintaining records.

(a) A program must maintain child records in a manner that ensures only parents, and officials within the program or acting on behalf of the program have access, and such records must be destroyed within a reasonable timeframe after such records are no longer needed or required to be maintained.

(b) A program must maintain, with the child records, for as long as the records are maintained, information on all individuals, agencies, or organizations to whom a disclosure of PII from the child records was made (except for program officials and parents) and why the disclosure was made. If a program uses a web-based data system to maintain child records, the program must ensure such child records are adequately protected and maintained according to current industry security standards.

(c) If a parent places a statement in the child record, the program must maintain the statement with the contested part of the child record for as long as the program maintains the record and, disclose the statement whenever it discloses the portion of the child record to which the statement relates.

## Subpart D — Delegation of Program Operations

### §1303.30 Grantee responsibility and accountability.

A grantee is accountable for the services its delegate agencies provide. The grantee supports, oversees and ensures delegate agencies provide high-quality services to children and families and meet all applicable Head Start requirements. The grantee can only terminate a delegate agency if the grantee shows cause why termination is necessary and provides a process for delegate agencies to appeal termination decisions. The grantee retains legal responsibility and authority and bears financial accountability for the program when services are provided by delegate agencies.

### §1303.31 Determining and establishing delegate agencies.

- (a) If a grantee enters into an agreement with another entity to serve children, the grantee must determine whether the agreement meets the definition of “delegate agency” in section 637(3) of the Act.
- (b) A grantee must not award a delegate agency federal financial assistance unless there is a written agreement and the responsible HHS official approves the agreement before the grantee delegates program operations.

### §1303.32 Evaluations and corrective actions for delegate agencies.

A grantee must evaluate and ensure corrective action for delegate agencies according to section 641A(d) of the Act.

### §1303.33 Termination of delegate agencies.

- (a) If a grantee shows cause why termination is appropriate or demonstrates cost effectiveness, the grantee may terminate a delegate agency’s contract.
- (b) The grantee’s decision to terminate must not be arbitrary or capricious.
- (c) The grantee must establish a process for defunding a delegate agency, including an appeal of a defunding decision and must ensure the process is fair and timely.
- (d) The grantee must notify the responsible HHS official about the appeal and its decision.

## Subpart E — Facilities

### §1303.40 Purpose.

This subpart prescribes what a grantee must establish to show it is eligible to purchase, construct and renovate facilities as outlined in section 644(c), (f) and (g) of the Act. It explains how a grantee may apply for funds, details what measures a grantee must take to protect federal interest in facilities

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purchased, constructed or renovated with grant funds, and concludes with other administrative provisions. This subpart applies to major renovations. It only applies to minor renovations and repairs, when they are included with a purchase application and are part of purchase costs.

### **§1303.41 Approval of previously purchased facilities.**

If a grantee purchased a facility after December 31, 1986, and seeks to use grant funds to continue to pay purchase costs for the facility or to refinance current indebtedness and use grant funds to service the resulting debt, the grantee may apply for funds to meet those costs. The grantee must submit an application that conforms to requirements in this part and in the Act to the responsible HHS official. If the responsible HHS official approves the grantee's application, Head Start funds may be used to pay ongoing purchase costs, which include principal and interest on approved loans.

### **§1303.42 Eligibility to purchase, construct, and renovate facilities.**

#### **(a) Preliminary eligibility.**

(1) Before a grantee can apply for funds to purchase, construct, or renovate a facility under §1303.44, it must establish that:

- (i) The facility will be available to Indian tribes, or rural or other low-income communities;
- (ii) The proposed purchase, construction or major renovation is within the grantee's designated service area; and,
- (iii) The proposed purchase, construction or major renovation is necessary because the lack of suitable facilities in the grantee's service area will inhibit the operation of the program.

(2) If a program applies to construct a facility, that the construction of such facility is more cost-effective than the purchase of available facilities or renovation.

(b) Proving a lack of suitable facilities. To satisfy paragraph (a)(1)(iii) of this section, the grantee must have a written statement from an independent real estate professional familiar with the commercial real estate market in the grantee's service area, that includes factors considered and supports how the real estate professional determined there are no other suitable facilities in the area.

### **§1303.43 Use of grant funds to pay fees.**

A grantee may submit a written request to the responsible HHS official for reasonable fees and costs necessary to determine preliminary eligibility under §1303.42 before it submits an application under §1303.44. If the responsible HHS official approves the grantee's application, the grantee may use federal funds to pay fees and costs.

**§1303.44 Applications to purchase, construct, and renovate facilities.**

(a) Application requirements. If a grantee is preliminarily eligible under §1303.42 to apply for funds to purchase, construct, or renovate a facility, it must submit to the responsible HHS official:

- (1) A statement that explains the anticipated effect the proposed purchase, construction or renovation has had or will have on program enrollment, activities and services, and how it determined what the anticipated effect would be;
- (2) A deed or other document showing legal ownership of the real property where facilities activity is proposed, legal description of the facility site, and an explanation why the location is appropriate for the grantee's service area;
- (3) Plans and specifications for the facility, including square footage, structure type, the number of rooms the facility will have or has, how the rooms will be used, where the structure will be positioned or located on the building site, and whether there is space available for outdoor play and for parking;
- (4) Certification by a licensed engineer or architect that the facility is, or will be upon completion, structurally sound and safe for use as a Head Start facility and that the facility complies, or will comply upon completion, with local building codes, applicable child care licensing requirements, the accessibility requirements of the Americans with Disabilities Act, section 504 of the Rehabilitation Act of 1973, the Flood Disaster Protection Act of 1973, and the National Historic Preservation Act of 1966;
- (5) A description of proposed renovations or repairs to make the facility suitable for program activities, and plans and specification that describe the facility after renovation or repair;
- (6) A proposed schedule that details when the grantee will acquire, renovate, repair and occupy the facility;
- (7) An estimate by a licensed independent certified appraiser of the facility's fair market value after proposed purchase and associated repairs and renovations construction, or major renovation is completed is required for all facilities activities except for major renovations to leased property;
- (8) The cost comparison described in §1303.45;
- (9) A statement that shows what share of the purchase, construction, or major renovation will be paid with grant funds and what the grantee proposes to contribute as a nonfederal match to the purchase, construction or major renovation;
- (10) A statement from a lender, if a grantee applies to use Head Start funds to continue purchase on a facility or refinance existing debt on a facility that indicates the lender is willing to comply with §1303.49;
- (11) The terms of any proposed or existing loan(s) related to purchase, construction or major renovation of the facility, including copies of any funding commitment letters, mortgages, promissory notes, potential security agreements to be entered into, information on all other

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sources of funding, construction or major renovation, and any restrictions or conditions imposed by other funding sources;

(12) A Phase I environmental site assessment that describes the environmental condition of the proposed facility site and any structures on the site;

(13) A description of the efforts by the grantee 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; and,

(14) Any additional information the responsible HHS official may require.

(b) Additional requirements for leased properties.

(1) If a grantee applies to renovate leased property, it must submit to the responsible HHS official information described in paragraph (a) of this section, a copy of the existing or proposed lease agreement, and the landlord or lessor's consent.

(2) If a grantee applies to purchase a modular unit it intends to site on leased property or on other property the grantee does not own, the grantee must submit to the responsible HHS official information described in paragraph (a) of this section and a copy of the proposed lease or other occupancy agreement that will allow the grantee access to the modular unit for at least 15 years.

(c) Non-federal match. Any non-federal match associated with facilities activities becomes part of the federal share of the facility.

## **§1303.45 Cost-comparison to purchase, construct, and renovate facilities.**

(a) Cost comparison.

(1) If a grantee proposes to purchase, construct, or renovate a facility, it must submit a detailed cost estimate of the proposed activity, compare the costs associated with the proposed activity to other available alternatives in the service area, and provide any additional information the responsible HHS official requests. The grantee must demonstrate that the proposed activity will result in savings when compared to the costs that would be incurred to acquire the use of an alternative facility to carry out program.

(2) In addition to requirements in paragraph (1) of this section, the grantee must:

(i) Identify who owns the property;

(ii) List all costs related to the purchase, construction, or renovation;

(iii) Identify costs over the structure's useful life, which is at least 20 years for a facility that the grantee purchased or constructed and at least 15 years for a modular unit the grantee renovated, and deferred costs, including mortgage balloon payments, as costs with associated due dates; and,

(iv) Demonstrate how the proposed purchase, construction, or major renovation is consistent with program management and fiscal goals, community needs, enrollment and program options and how the proposed facility will support the grantee as it provides quality services to children and families.

(b) Continue purchase or refinance. To use funds to continue purchase on a facility or to refinance an existing indebtedness, the grantee must compare the costs of continued purchase against the cost of purchasing a comparable facility in the service area over the remaining years of the facility's useful life. The grantee must demonstrate that the proposed activity will result in savings when compared to the cost that would be incurred to acquire the use of an alternative facility to carry out the program.

(c) Multi-purpose use. If the grantee intends to use a facility to operate a Head Start program and for another purpose, it must disclose what percentage of the facility will be used for non-Head Start activities, along with costs associated with those activities, in accordance with applicable cost principles.

### **§1303.46 Recording and posting notices of federal interest.**

(a) Survival of federal interest. A grantee that receives funds under this subpart must file notices of federal interest as set forth in paragraph (b) of this section. Federal interest cannot be defeated by a grantee's failure to file a notice of federal interest.

(b) Recording notices of federal interest.

(1) If a grantee uses federal funds to purchase real property or a facility, excluding modular units, appurtenant to real property, it must record a notice of federal interest in the official real property records for the jurisdiction where the facility is or will be located. The grantee must file the notice of federal interest as soon as it uses Head Start funds to either fully or partially purchase a facility or real property where a facility will be constructed or as soon as it receives permission from the responsible HHS official to use Head Start funds to continue purchase on a facility.

(2) If a grantee uses federal funds in whole or in part to construct a facility, it must record the notice of federal interest in the official real property records for the jurisdiction in which the facility is located as soon as it receives the notice of award to construct the facility.

(3) If a grantee uses federal funds to renovate a facility that it, or a third party owns, the grantee must record the notice of federal interest in the official real property records for the jurisdiction in which the facility is located as soon as it receives the notice of award to renovate the facility.

(4) If a grantee uses federal funds in whole or in part to purchase a modular unit or to renovate a modular unit, the grantee must post the notice of federal interest, in clearly visible locations, on the exterior of the modular unit and inside the modular unit.

### §1303.47 Contents of notices of federal interest.

(a) Facility and real property a grantee owns. A notice of federal interest for a facility, other than a modular unit, and real property the grantee owns or will own, must include:

- (1) The grantee's correct legal name and current mailing address;
- (2) A legal description of the real property;
- (3) Grant award number, amount and date of initial facilities funding award or initial use of base grant funds for ongoing purchase or mortgage payments;
- (4) A statement that the notice of federal interest includes funds awarded in grant award(s) and any Head Start funds subsequently used to purchase, construct or to make major renovations to the real property;
- (5) A statement that the facility and real property will only be used for purposes consistent with the Act and applicable Head Start regulations;
- (6) A statement that the facility and real property will not be mortgaged or used as collateral, sold or otherwise transferred to another party, without the responsible HHS official's written permission;
- (7) A statement that the federal interest cannot be subordinated, diminished, nullified or released through encumbrance of the property, transfer of the property to another party or any other action the grantee takes without the responsible HHS official's written permission;
- (8) A statement that confirms that the agency's governing body received a copy of the notice of federal interest prior to filing and the date the governing body was provided with a copy; and,
- (9) The name, title, and signature of the person who drafted the notice.

(b) Facility leased by a grantee.

- (1) A notice of federal interest for a leased facility, excluding a modular unit, on land the grantee does not own, must be recorded in the official real property records for the jurisdiction where the facility is located and must include:
  - (i) The grantee's correct legal name and current mailing address;
  - (ii) A legal description of affected real property;
  - (iii) The grant award number, amount and date of initial funding award or initial use of base grant funds for major renovation;
  - (iv) Acknowledgement that the notice of federal interest includes any Head Start funds subsequently used to make major renovations on the affected real property;
  - (v) A statement the facility and real property will only be used for purposes consistent with the Act and applicable Head Start regulations; and,

- (vi) A lease or occupancy agreement that includes the required information from paragraphs (b)(1)(i) through (v) of this section may be recorded in the official real property records for the jurisdiction where the facility is located to serve as a notice of federal interest.
- (2) If a grantee cannot file the lease or occupancy agreement described in paragraph (b)(1)(vi) of this section in the official real property records for the jurisdiction where the facility is located, it may file an abstract. The abstract must include the names and addresses of parties to the lease or occupancy agreement, terms of the lease or occupancy agreement, and information described in paragraphs (a)(1) through (9) of this section.
- (c) **Modular units.** A notice of federal interest on a modular unit the grantee purchased or renovated must be visible and clearly posted on the exterior of the modular and inside the modular and must include:
- (1) The grantee's correct legal name and current mailing address;
  - (2) The grant award number, amount and date of initial funding award or initial use of base grant funds to purchase or renovate;
  - (3) A statement that the notice of federal interest includes any Head Start funds subsequently used for major renovations to the modular unit;
  - (4) A statement that the facility and real property will only be used for purposes consistent with the Act and applicable Head Start regulations;
  - (5) A statement that the modular unit will not be mortgaged or used as collateral, sold or otherwise transferred to another party, without the responsible HHS official's written permission;
  - (6) A statement that the federal interest cannot be subordinated, diminished, nullified or released through encumbrance of the property, transfer to another party, or any other action the grantee takes without the responsible HHS official's written permission;
  - (7) A statement that the modular unit cannot be moved to another location without the responsible HHS official's written permission;
  - (8) A statement that confirms that the agency's governing body has received a copy of the filed notice of federal interest and the date the governing body was provided with a copy; and,
  - (9) The name, title, and signature of the person who completed the notice for the grantee agency.

### **§1303.48 Grantee limitations on federal interest.**

- (a) A grantee cannot mortgage, use as collateral for a credit line or for other loan obligations, or, sell or transfer to another party, a facility, real property, or a modular unit it has purchased, constructed or renovated with Head Start funds, without the responsible HHS official's written permission.
- (b) A grantee must have the responsible HHS official's written permission before it can use real

property, a facility, or a modular unit subject to federal interest for a purpose other than that for which the grantee's application was approved.

### **§1303.49 Protection of federal interest in mortgage agreements.**

(a) Any mortgage agreement or other security instrument that is secured by real property or a modular unit constructed or purchased in whole or in part with federal funds or subject to renovation with federal funds must:

- (1) Specify that the responsible HHS official can intervene in case the grantee defaults on, terminates or withdraws from the agreement;
- (2) Designate the responsible HHS official to receive a copy of any notice of default given to the grantee under the terms of the agreement and include the regional grants management officer's current address;
- (3) Include a clause that requires any action to foreclose the mortgage agreement or security agreement be suspended for 60 days after the responsible HHS official receives the default notice to allow the responsible HHS official reasonable time to respond;
- (4) Include a clause that preserves the notice of federal interest and the grantee's obligation for its federal share if the responsible HHS official fails to respond to any notice of default provided under this section;
- (5) Include a statement that requires the responsible HHS official to be paid the federal interest before foreclosure proceeds are paid to the lender, unless the official's rights under the notice of federal interest have been subordinated by a written agreement in conformance with §1303.51;
- (6) Include a clause that gives the responsible HHS official the right to cure any default under the agreement within the designated period to cure the default; and,
- (7) Include a clause that gives the responsible HHS official the right to assign or transfer the agreement to another interim or permanent grantee.

(b) A grantee must immediately notify the responsible HHS official of any default under an agreement described in paragraph (a) of this section.

### **§1303.50 Third party leases and occupancy arrangements.**

(a) After November 7, 2016, if a grantee receives federal funds to purchase, construct or renovate a facility on real property the grantee does not own or to purchase or renovate a modular unit on real property the grantee does not own, the grantee must have a lease or other occupancy agreement of at least 30 years for purchase or construction of a facility and at least 15 years for a major renovation or placement of a modular unit.

(b) The lease or occupancy agreement must:

- (1) Provide for the grantee's right of continued use and occupancy of the leased or occupied premises during the entire term of the lease;
- (2) Designate the regional grants management officer to receive a copy of any notice of default given to the grantee under the terms of the agreement and include the regional grants management officer's current address;
- (3) Specify that the responsible HHS official has the right to cure any default under the lease or occupancy agreement within the designated period to cure default; and,
- (4) Specify that the responsible HHS official has the right to transfer the lease to another interim or replacement grantee.

### **§1303.51 Subordination of the federal interest.**

Only the responsible HHS official can subordinate federal interest to the rights of a lender or other third party. Subordination agreements must be in writing and the mortgage agreement or security agreement for which subordination is requested must comply with §1303.49. When the amount of federal funds already contributed to the facility exceeds the amount to be provided by the lender seeking subordination, the federal interest may only be subordinated if the grantee can show that funding is not available without subordination of the federal interest

### **§1303.52 Insurance, bonding, and maintenance.**

- (a) Purpose. If a grantee uses federal funds to purchase or continue purchase on a facility, excluding modular units, the grantee must obtain a title insurance policy for the purchase price that names the responsible HHS official as an additional loss payee.
- (b) Insurance coverage.
  - (1) If a grantee uses federal funds to purchase or continue purchase on a facility or modular unit the grantee must maintain physical damage or destruction insurance at the full replacement value of the facility, for as long as the grantee owns or occupies the facility.
  - (2) If a facility is located in an area the National Flood Insurance Program defines as high risk, the grantee must maintain flood insurance for as long as the grantee owns or occupies the facility.
  - (3) A grantee must submit to the responsible HHS official, within 10 days after coverage begins, proof of insurance coverage required under paragraphs (a) and (b) of this section.
- (c) Maintenance. A grantee must keep all facilities purchased or constructed in whole or in part with Head Start funds in good repair in accordance with all applicable federal, state, and local laws, rules and regulations, including Head Start requirements, zoning requirements, building codes, health and safety regulations and child care licensing standards.

**§1303.53 Copies of documents.**

A grantee must submit to the responsible HHS official, within 10 days after filing or execution, copies of deeds, leases, loan instruments, mortgage agreements, notices of federal interest, and other legal documents related to the use of Head Start funds for purchase, construction, major renovation, or the discharge of any debt secured by the facility.

**§1303.54 Record retention.**

A grantee must retain records pertinent to the lease, purchase, construction or renovation of a facility funded in whole or in part with Head Start funds, for as long as the grantee owns or occupies the facility, plus three years.

**§1303.55 Procurement procedures.**

- (a) A grantee must comply with all grants management regulations, including specific regulations applicable to transactions in excess of the current simplified acquisition threshold, cost principles, and its own procurement procedures, and must provide, to the maximum extent practical, open and full competition.
- (b) A grantee must obtain the responsible HHS official's written approval before it uses Head Start funds, in whole or in part, to contract construction or renovation services. The grantee must ensure these contracts are paid on a lump sum fixed-price basis.
- (c) A grantee must obtain prior written approval from the responsible HHS official for contract modifications that would change the scope or objective of a project or would materially alter the costs, by increasing the amount of grant funds needed to complete the project.
- (d) A grantee must ensure all construction and renovation contracts paid, in whole or in part with Head Start funds contain a clause that gives the responsible HHS official or his or her designee access to the facility, at all reasonable times, during construction and inspection.

**§1303.56 Inspection of work.**

The grantee must submit to the responsible HHS official a final facility inspection report by a licensed engineer or architect within 30 calendar days after the project is completed. The inspection report must certify that the facility complies with local building codes, applicable child care licensing requirements, is structurally sound and safe for use as a Head Start facility, complies with the access requirements of the Americans with Disabilities Act, section 504 of the Rehabilitation Act, and the Flood Disaster Protection Act of 1973, and complies with National Historic Preservation Act of 1966.

## Subpart F — Transportation

### §1303.70 Purpose.

(a) Applicability. This rule applies to all agencies, including those that provide transportation services, with the exceptions and exclusions provided in this section, regardless of whether such transportation is provided directly on agency owned or leased vehicles or through arrangement with a private or public transportation provider.

(b) Providing transportation services.

(1) If a program does not provide transportation services, either for all or a portion of the children, it must provide reasonable assistance, such as information about public transit availability, to the families of such children to arrange transportation to and from its activities, and provide information about these transportation options in recruitment announcements.

(2) A program that provides transportation services must make reasonable efforts to coordinate transportation resources with other human services agencies in its community in order to control costs and to improve the quality and the availability of transportation services.

(3) A program that provides transportation services must ensure all accidents involving vehicles that transport children are reported in accordance with applicable state requirements.

(c) Waiver.

(1) A program that provides transportation services must comply with all provisions in this subpart. A Head Start program may request to waive a specific requirement in this part, in writing, to the responsible HHS official, as part of an agency's annual application for financial assistance or amendment and must submit any required documentation the responsible HHS official deems necessary to support the waiver. The responsible HHS official is not authorized to waive any requirements with regard to children enrolled in an Early Head Start program. A program may request a waiver when:

(i) Adherence to a requirement in this part would create a safety hazard in the circumstances faced by the agency; and,

(ii) For preschool children, compliance with requirements related to child restraint systems at §§1303.71(d) and 1303.72(a)(1) or bus monitors at §1303.72(a)(4) will result in a significant disruption to the program and the agency demonstrates that waiving such requirements is in the best interest of the children involved.

(2) The responsible HHS official is not authorized to waive any requirements of the Federal Motor Vehicle Safety Standards (FMVSS) made applicable to any class of vehicle under 49 CFR part 571.

### §1303.71 Vehicles.

(a) Required use of schools buses or allowable alternative vehicles. A program, with the exception of transportation services to children served under a home-based option, must ensure all vehicles used or purchased with grant funds to provide transportation services to enrolled children are school buses or allowable alternate vehicles that are equipped for use of height- and weight-appropriate child restraint systems, and that have reverse beepers.

(b) Emergency equipment. A program must ensure each vehicle used in providing such services is equipped with an emergency communication system clearly labeled and appropriate emergency safety equipment, including a seat belt cutter, charged fire extinguisher, and first aid kit.

(c) Auxiliary seating. A program must ensure any auxiliary seating, such as temporary or folding jump seats, used in vehicles of any type providing such services are built into the vehicle by the manufacturer as part of its standard design, are maintained in proper working order, and are inspected as part of the annual inspection required under paragraph (e)(2)(i) of this section.

(d) Child restraint systems. A program must ensure each vehicle used to transport children receiving such services is equipped for use of age-, height- and weight-appropriate child safety restraint systems as defined in part 1305 of this chapter.

(e) Vehicle maintenance.

(1) A program must ensure vehicles used to provide such services are in safe operating condition at all times.

(2) The program must:

(i) At a minimum, conduct an annual thorough safety inspection of each vehicle through an inspection program licensed or operated by the state;

(ii) Carry out systematic preventive maintenance on vehicles; and,

(iii) Ensure each driver implements daily pre-trip vehicle inspections.

(f) New vehicle inspection. A program must ensure bid announcements for school buses and allowable alternate vehicles to transport children in its program include correct specifications and a clear statement of the vehicle's intended use. The program must ensure vehicles are examined at delivery to ensure they are equipped in accordance with the bid specifications and that the manufacturer's certification of compliance with the applicable FMVSS is included with the vehicle.

### §1303.72 Vehicle operation.

(a) Safety. A program must ensure:

(1) Each child is seated in a child restraint system appropriate to the child's age, height, and weight;

(2) Baggage and other items transported in the passenger compartment are properly stored

and secured, and the aisles remain clear and the doors and emergency exits remain unobstructed at all times;

(3) Up-to-date child rosters and lists of the adults each child is authorized to be released to, including alternates in case of emergency, are maintained and no child is left behind, either at the classroom or on the vehicle at the end of the route; and,

(4) With the exception of transportation services to children served under a home-based option, there is at least one bus monitor on board at all times, with additional bus monitors provided as necessary.

(b) Driver qualifications. A program, with the exception of transportation services to children served under a home-based option, must ensure drivers, at a minimum:

(1) In states where such licenses are granted, have a valid Commercial Driver's License (CDL) for vehicles in the same class as the vehicle the driver will operating; and,

(2) Meet any physical, mental, and other requirements as necessary to perform job-related functions with any necessary reasonable accommodations.

(c) Driver application review. In addition to the applicant review process prescribed §1302.90(b) of this chapter, a program, with the exception of transportation services to children served under a home-based option, must ensure the applicant review process for drivers includes, at minimum:

(1) Disclosure by the applicant of all moving traffic violations, regardless of penalty;

(2) A check of the applicant's driving record through the appropriate state agency, including a check of the applicant's record through the National Driver Register, if available;

(3) A check that drivers qualify under the applicable driver training requirements in the state or tribal jurisdiction; and,

(4) After a conditional employment offer to the applicant and before the applicant begins work as a driver, a medical examination, performed by a licensed doctor of medicine or osteopathy, establishing that the individual possesses the physical ability to perform any job-related functions with any necessary accommodations.

(d) Driver training.

(1) A program must ensure any person employed as a driver receives training prior to transporting any enrolled child and receives refresher training each year.

(2) Training must include:

(i) Classroom instruction and behind-the-wheel instruction sufficient to enable the driver to operate the vehicle in a safe and efficient manner, to safely run a fixed route, to administer basic first aid in case of injury, and to handle emergency situations, including vehicle evacuation, operate any special equipment, such as wheelchair lifts, assistance devices or special occupant restraints, conduct routine maintenance and safety checks of the vehicle, and maintain accurate records as necessary; and,

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- (ii) Instruction on the topics listed in §1303.75 related to transportation services for children with disabilities.
- (3) A program must ensure the annual evaluation of each driver of a vehicle used to provide such services includes an on-board observation of road performance.
- (e) **Bus monitor training.** A program must train each bus monitor before the monitor begins work, on child boarding and exiting procedures, how to use child restraint systems, completing any required paperwork, how to respond to emergencies and emergency evacuation procedures, how to use special equipment, child pick-up and release procedures, how to conduct and pre- and post-trip vehicle checks. Bus monitors are also subject to staff safety training requirements in §1302.47(b)(4) of this chapter including Cardio Pulmonary Resuscitation (CPR) and first aid.

### §1303.73 Trip routing.

- (a) A program must consider safety of the children it transports when it plans fixed routes.
- (b) A program must also ensure:
  - (1) The time a child is in transit to and from the program must not exceed one hour unless there is no shorter route available or any alternative shorter route is either unsafe or impractical;
  - (2) Vehicles are not loaded beyond maximum passenger capacity at any time;
  - (3) Drivers do not back up or make U-turns, except when necessary for safety reasons or because of physical barriers;
  - (4) Stops are located to minimize traffic disruptions and to afford the driver a good field of view in front of and behind the vehicle;
  - (5) When possible, stops are located to eliminate the need for children to cross the street or highway to board or leave the vehicle;
  - (6) Either a bus monitor or another adult escorts children across the street to board or leave the vehicle if curbside pick-up or drop off is impossible; and,
  - (7) Drivers use alternate routes in the case of hazardous conditions that could affect the safety of the children who are being transported, such as ice or water build up, natural gas line breaks, or emergency road closing.

### §1303.74 Safety procedures.

- (a) A program must ensure children who receive transportation services are taught safe riding practices, safety procedures for boarding and leaving the vehicle and for crossing the street to and from the vehicle at stops, recognition of the danger zones around the vehicle, and emergency evacuation procedures, including participating in an emergency evacuation drill conducted on the vehicle the child will be riding.
- (b) A program that provides transportation services must ensure at least two bus evacuation drills in

addition to the one required under paragraph (a) of this section are conducted during the program year.

### **§1303.75 Children with disabilities.**

(a) A program must ensure there are school buses or allowable alternate vehicles adapted or designed for transportation of children with disabilities available as necessary to transport such children enrolled in the program. This requirement does not apply to the transportation of children receiving home-based services unless school buses or allowable alternate vehicles are used to transport the other children served under the home-based option by the grantee. Whenever possible, children with disabilities must be transported in the same vehicles used to transport other children enrolled in the Head Start or Early Head Start program.

(b) A program must ensure special transportation requirements in a child's IEP or IFSP are followed, including special pick-up and drop-off requirements, seating requirements, equipment needs, any assistance that may be required, and any necessary training for bus drivers and monitors.

## **Part 1304 — Federal Administrative Procedures**

Sec.

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AUTHORITY: 42 U.S.C. 9801 *et seq.*

## Subpart A — Monitoring, Suspension, Termination, Denial of Refunding, Reduction in Funding, and their Appeals

### §1304.1 Purpose.

(a) Section 641A(c) of the Act requires the Secretary to monitor whether a grantee meets program governance, program operations, and financial and administrative standards described in this regulation and to identify areas for improvements and areas of strength as part of the grantee's ongoing self-assessment process. This subpart focuses on the monitoring process. It discusses areas of noncompliance, deficiencies, and corrective action through quality improvement plans.

(b) Section 646(a) of the Act requires the Secretary to prescribe procedures for notice and appeal for certain adverse actions. This subpart establishes rules and procedures to suspend financial assistance to a grantee, deny a grantee's application for refunding, terminate, or reduce a grantee's assistance under the Act when the grantee improperly uses federal funds or fails to comply with applicable laws, regulations, policies, instructions, assurances, terms and conditions or, if the grantee loses its legal status or financial viability. This subpart does not apply to reductions to a grantee's financial assistance based on chronic under-enrollment procedures at section 641A(h) of the Act or to matters described in subpart B. This subpart does not apply to any administrative action based upon any violation, or alleged violation, of title VI of the Civil Rights Act of 1964. Except as otherwise provided for in this subpart, the appeals and processes in this subpart will be governed by the Departmental Appeals Board regulations at 45 CFR part 16.

### §1304.2 Monitoring.

(a) Areas of noncompliance. If a responsible HHS official determines through monitoring, pursuant to section 641(A)(c)(1) and (2) of the Act, that a grantee fails to comply with any of the standards described in parts 1301, 1302, and 1303 of this chapter, the official will notify the grantee promptly in writing, identify the area of noncompliance, and specify when the grantee must correct the area of noncompliance.

(b) Deficiencies. If the Secretary determines that a grantee meets one of the criteria for a deficiency, as defined in section 637(2)(C) of the Act, the Secretary shall inform the grantee of the deficiency.

The grantee must correct the deficiency pursuant to section 641A(e)(1)(B) of the Act, as the responsible HHS official determines.

(c) Quality improvement plans. If the responsible HHS official does not require the grantee to correct a deficiency immediately as prescribed under section 641A(e)(1)(B)(i) of the Act, the grantee must submit to the official, for approval, a quality improvement plan that adheres to section 641A(e)(2)(A) of the Act.

### **§1304.3 Suspension with notice.**

(a) Grounds to suspend financial assistance with notice. If a grantee breaches or threatens to breach any requirement stated in §§1304.3 through 1304.5, the responsible HHS official may suspend the grantee's financial assistance, in whole or in part, after it has given the grantee notice and an opportunity to show cause why assistance should not be suspended.

(b) Notice requirements.

(1) The responsible HHS official must notify the grantee in writing that ACF intends to suspend financial assistance, in whole or in part. The notice must:

- (i) Specify grounds for the suspension;
- (ii) Include the date suspension will become effective;
- (iii) Inform the grantee that it has the opportunity to submit to the responsible HHS official, at least seven days before suspension becomes effective, any written material it would like the official to consider, and to inform the grantee that it may request, in writing, no later than seven days after the suspension notice was mailed, to have an informal meeting with the responsible HHS official;
- (iv) Invite the grantee to voluntarily correct the deficiency; and,
- (v) Include a copy of this subpart.

(2) The responsible HHS official must promptly transmit the suspension notice to the grantee. The notice becomes effective when the grantee receives the notice, when the grantee refuses delivery, or when the suspension notice is returned to sender unclaimed.

(3) The responsible HHS official must send a copy of the suspension notice to any delegate agency whose actions or whose failures to act substantially caused or contributed to the proposed suspension. The responsible HHS official will inform the delegate agency that it is entitled to submit written material to oppose the suspension and to participate in the informal meeting, if one is held. In addition, the responsible HHS official may give notice to the grantee's other delegate agencies.

(4) After the grantee receives the suspension notice, it has three days to send a copy of the notice to delegate agencies that would be financially affected by a suspension.

(c) Opportunity to show cause. The grantee may submit to the responsible HHS official any written material to show why financial assistance should not be suspended. The grantee may also request,

## §1304.4

in writing, to have an informal meeting with the responsible HHS official. If the grantee requests an informal meeting, the responsible HHS official must schedule the meeting within seven days after the grantee receives the suspension notice.

(d) Extensions. If the responsible HHS official extends the time or the date by which a grantee has to make requests or to submit material, it must notify the grantee in writing.

(e) Decision.

(1) The responsible HHS official will consider any written material presented before or during the informal meeting, as well as any proof the grantee has adequately corrected what led to suspension, and will render a decision within five days after the informal meeting. If no informal meeting is held, the responsible HHS official will render a decision within five days after it receives written material from all concerned parties.

(2) If the responsible HHS official finds the grantee failed to show cause why ACF should not suspend financial assistance, the official may suspend financial assistance, in whole or in part, and under terms and conditions as he or she deems appropriate.

(3) A suspension must not exceed 30 days, unless the conditions under section 646(a)(5)(B) are applicable or the grantee requests the suspension continue for an additional period of time and the responsible HHS official agrees.

(4) The responsible HHS official may appoint an agency to serve as an interim grantee to operate the program until the grantee's suspension is lifted, or as otherwise provided under section 646(a)(5)(B) of the Act.

(f) Obligations incurred during suspension. New obligations the grantee incurs while under suspension are not allowed unless the responsible HHS official expressly authorizes them in the suspension notice or in an amendment to the suspension notice. Necessary and otherwise allowable costs which the grantee could not reasonably avoid during the suspension period will be allowed if they result from obligations the grantee properly incurred before suspension and not in anticipation of suspension or termination. The responsible HHS official may allow third-party in-kind contributions applicable to the suspension period to satisfy cost sharing or matching requirements.

(g) Modify or rescind suspension. The responsible HHS official may modify or rescind suspension at any time, if the grantee can satisfactorily show that it has adequately corrected what led to suspension and that it will not repeat such actions or inactions. Nothing in this section precludes the HHS official from imposing suspension again for additional 30 day periods if the cause of the suspension has not been corrected.

### **§1304.4 Emergency suspension without advance notice.**

(a) Grounds to suspend financial assistance without advance notice. The responsible HHS official may suspend financial assistance, in whole or in part, without prior notice and an opportunity to show cause if there is an emergency situation, such as a serious risk for substantial injury to property or loss of project funds, a federal, state, or local criminal statute violation, or harm to staff or participants' health and safety.

(b) Emergency suspension notification requirements.

(1) The emergency suspension notification must:

(i) Specify the grounds for the suspension;

(ii) Include terms and conditions of any full or partial suspension;

(iii) Inform that grantee it cannot make or incur any new expenditures or obligations under suspended portion of the program; and,

(iv) Advise that within five days after the emergency suspension becomes effective, the grantee may request, in writing, an informal meeting with the responsible HHS official to show why the basis for the suspension was not valid and should be rescinded and that the grantee has corrected any deficiencies.

(2) The responsible HHS official must promptly transmit the emergency suspension notification to the grantee that shows the date of receipt. The emergency suspension becomes effective upon delivery of the notification or upon the date the grantee refuses delivery, or upon return of the notification unclaimed.

(3) Within two workdays after the grantee receives the emergency suspension notification, the grantee must send a copy of the notice to delegate agencies affected by the suspension.

(4) The responsible HHS official must inform affected delegate agencies that they have the right to participate in the informal meeting.

(c) Opportunity to show cause. If the grantee requests an informal meeting, the responsible HHS official must schedule a meeting within five workdays after it receives the grantee's request. The suspension will continue until the grantee has been afforded such opportunity and until the responsible HHS official renders a decision. Notwithstanding provisions in this section, the responsible HHS official may proceed to deny refunding or to initiate termination proceedings at any time even though the grantee's financial assistance has been suspended in whole or in part.

(d) Decision.

(1) The responsible HHS official will consider any written material presented before or during the informal meeting, as well as any proof the grantee has adequately corrected what led to suspension, and render a decision within five work days after the informal meeting.

(2) If the responsible HHS official finds the grantee failed to show cause why suspension should be rescinded, the responsible HHS official may continue the suspension, in whole or in part, and under the terms and conditions specified in the emergency suspension notification.

(3) A suspension must not exceed 30 days, unless the conditions under section 646(a)(5)(B) are applicable or the grantee requests the suspension to continue for an additional period of time and the responsible HHS official agrees.

(4) The responsible HHS official may appoint an agency to serve as an interim grantee to operate the program until either the grantee's emergency suspension is lifted or a new grantee is selected.

(e) Obligations incurred during suspension. Any new obligations the grantee incurs during the suspension period will not be allowed unless the responsible HHS official expressly authorizes them in the suspension notice or in an amendment to the suspension notice. Necessary and otherwise allowable costs which the grantee could not reasonably avoid during the suspension period will be allowed if those costs result from obligations properly incurred before suspension and not in anticipation of suspension, denial of refunding or termination. The responsible HHS official may allow third-party in-kind contributions applicable to the suspension period to satisfy cost sharing or matching requirements.

(f) Modify or rescind suspension. The responsible HHS official may modify or rescind suspension at any time, if the grantee can satisfactorily show that it has adequately corrected what led to the suspension and that it will not repeat such actions or inactions. Nothing in this section precludes the HHS official from imposing suspension again for additional 30 day periods if the cause of the suspension has not been corrected.

### **§1304.5 Termination and denial of refunding.**

(a) Grounds to terminate financial assistance or deny a grantee's application for refunding.

(1) A responsible HHS official may terminate financial assistance in whole or in part to a grantee or deny a grantee's application for refunding.

(2) The responsible HHS official may terminate financial assistance in whole or in part, or deny refunding to a grantee for any one or for all of the following reasons:

(i) The grantee is no longer financially viable;

(ii) The grantee has lost the requisite legal status or permits;

(iii) The grantee has failed to timely correct one or more deficiencies as defined in the Act;

(iv) The grantee has failed to comply with eligibility requirements;

(v) The grantee has failed to comply with the Head Start grants administration or fiscal requirements set forth in 45 CFR part 1303;

(vi) The grantee has failed to comply with requirements in the Act;

(vii) The grantee is debarred from receiving federal grants or contracts; or

(viii) The grantee has failed to abide by any other terms and conditions of its award of financial assistance, or any other applicable laws, regulations, or other applicable federal or state requirements or policies.

(b) Notice requirements.

(1) The responsible HHS official will notify the grantee and such notice will:

(i) Include the legal basis for termination or adverse action as described in paragraph (a) of this section;

- (ii) Include factual findings on which the action is based or reference specific findings in another document that form the basis for termination or denial of refunding;
  - (iii) Cite to any statutory provisions, regulations, or policy issuances on which ACF relies for its determination;
  - (iv) Inform the grantee that it may appeal the denial or termination within 30 days to the Departmental Appeals Board, that the appeal will be governed by 45 CFR part 16, except as otherwise provided in the Head Start appeals regulations, that a copy of the appeal must be sent to the responsible HHS official, and that it has the right to request and receive a hearing, as mandated under section 646 of the Act;
  - (v) Inform the grantee that only its board of directors, or an official acting on the board's behalf can appeal the decision;
  - (vi) Name the delegate agency, if the actions of that delegate are the basis, in whole or in part, for the proposed action; and,
  - (vii) Inform the grantee that the appeal must meet requirements in paragraph (c) of this section; and, that if the responsible HHS official fails to meet requirements in this paragraph, the pending action may be dismissed without prejudice or remanded to reissue it with corrections.
- (2) The responsible HHS official must provide the grantee as much notice as possible, but must notify the grantee no later than 30 days after ACF receives the annual application for refunding, that it has the opportunity for a full and fair hearing on whether refunding should be denied.
- (c) Grantee's appeal.
- (1) The grantee must adhere to procedures and requirements for appeals in 45 CFR part 16, file the appeal with the Departmental Appeals Board, and serve a copy of the appeal on the responsible HHS official who issued the termination or denial of refunding notice. The grantees must also serve a copy of its appeal on any affected delegate.
  - (2) Unless funding has been suspended, funding will continue while a grantee appeals a termination decision, unless the responsible HHS official renders an adverse decision, or unless the current budget period is expired. If the responsible HHS official has not rendered a decision by the end of the current budget period, the official will award the grantee interim funding until a decision is made or the project period ends.
- (d) Funding during suspension. If a grantee's funding is suspended, the grantee will not receive funding during the termination proceedings, or at any other time, unless the action is rescinded or the grantee's appeal is successful.
- (e) Interim and replacement grantees. The responsible HHS official may appoint an interim or replacement grantee as soon as a termination action is affirmed by the Departmental Appeals Board.
- (f) Opportunity to show cause.

- (1) If the Departmental Appeals Board sets a hearing for a proposed termination or denial of refunding action, the grantee has five workdays to send a copy of the notice it receives from the Departmental Appeals Board, to all delegate agencies that would be financially affected by termination and to each delegate agency identified in the notice.
  - (2) The grantee must send to the Departmental Appeals Board and to the responsible HHS official a list of the delegate agencies it notified and the dates when it notified them.
  - (3) If the responsible HHS official initiated proceedings because of a delegate agency's activities, the official must inform the delegate agency that it may participate in the hearing. If the delegate agency chooses to participate in the hearing, it must notify the responsible HHS official in writing within 30 days of the grantee's appeal. If any other delegate agency, person, agency or organization wishes to participate in the hearing, it may request permission to do so from the Departmental Appeals Board.
  - (4) If the grantee fails to appear at the hearing, without good cause, the grantee will be deemed to have waived its right to a hearing and consented to have the Departmental Appeals Board make a decision based on the parties' written information and argument.
  - (5) A grantee may waive the hearing and submit written information and argument for the record, within a reasonable period of time to be fixed by the Departmental Appeals Board.
  - (6) The responsible HHS official may attempt, either personally or through a representative, to resolve the issues in dispute by informal means prior to the hearing.
- (g) Decision. The Departmental Appeals Board's decision and any measure the responsible HHS official takes after the decision is fully binding upon the grantee and its delegate agencies, whether or not they actually participated in the hearing.

### **§1304.6 Appeal for prospective delegate agencies.**

- (a) Appeal. If a grantee denies, or fails to act on, a prospective delegate agency's funding application, the prospective delegate may appeal the grantee's decision or inaction.
- (b) Process for prospective delegates. To appeal, a prospective delegate must:
  - (1) Submits the appeal, including a copy of the funding application, to the responsible HHS official within 30 days after it receives the grantee's decision; or within 30 days after the grantee has had 120 days to review but has not notified the applicant of a decision; and,
  - (2) Provide the grantee with a copy of the appeal at the same time the appeal is filed with the responsible HHS official.
- (c) Process for grantees. When an appeal is filed with the responsible HHS official, the grantee must respond to the appeal and submit a copy of its response to the responsible HHS official and to the prospective delegate agency within 30 work days.
- (d) Decision.
  - (1) The responsible HHS official will sustain the grantee's decision, if the official determines

the grantee did not act arbitrarily, capriciously, or otherwise contrary to law, regulation, or other applicable requirements.

(2) The responsible HHS official will render a written decision to each party within a reasonable timeframe. The official's decision is final and not subject to further appeal.

(3) If the responsible HHS official finds the grantee did act arbitrarily, capriciously, or otherwise contrary to law, regulation, or other applicable requirements, the grantee will be directed to reevaluate their applications.

### **§1304.7 Legal fees.**

(a) An agency is not authorized to charge to its grant legal fees or other costs incurred to appeal terminations, reductions of funding, or denials of applications of refunding decisions.

(b) If a program prevails in a termination, reduction, or denial of refunding decision, the responsible HHS official may reimburse the agency for reasonable and customary legal fees, incurred during the appeal, if:

- (1) The Departmental Appeals Board overturns the responsible HHS official's decision;
- (2) The agency can prove it incurred fees during the appeal; and,
- (3) The agency can prove the fees incurred are reasonable and customary.

## **Subpart B — Designation Renewal**

### **§1304.10 Purpose and scope.**

The purpose of this subpart is to set forth policies and procedures for the designation renewal of Head Start and Early Head Start programs. It is intended that these programs be administered effectively and responsibly; that applicants to administer programs receive fair and equitable consideration; and that the legal rights of current Head Start and Early Head Start grantees be fully protected. The Designation Renewal System is established in this part to determine whether Head Start and Early Head Start agencies deliver high-quality services to meet the educational, health, nutritional, and social needs of the children and families they serve; meet the program and financial requirements and standards described in section 641A(a)(1) of the Head Start Act; and qualify to be designated for funding for five years without competing for such funding as required under section 641(c) of the Head Start Act with respect to Head Start agencies and pursuant to section 645A(b)(12) and (d) with respect to Early Head Start agencies. A competition to select a new Head Start or Early Head Start agency to replace a Head Start or Early Head Start agency that has been terminated voluntarily or involuntarily is not part of the Designation Renewal System established in this Part, and is subject instead to the requirements of §1304.20.

## **§1304.11 Basis for determining whether a Head Start agency will be subject to an open competition.**

A Head Start or Early Head Start agency shall be required to compete for its next five years of funding whenever the responsible HHS official determines that one or more of the following seven conditions existed during the relevant time period covered by the responsible HHS official's review under §1304.15:

(a) An agency has been determined by the responsible HHS official to have one or more deficiencies on a single review conducted under section 641A(c)(1)(A), (C), or (D) of the Act in the relevant time period covered by the responsible HHS official's review under §1304.15.

(b) An agency has been determined by the responsible HHS official based on a review conducted under section 641A(c)(1)(A), (C), or (D) of the Act during the relevant time period covered by the responsible HHS official's review under §1304.15 not to have:

(1) After December 9, 2011, established program goals for improving the school readiness of children participating in its program in accordance with the requirements of section 641A(g)(2) of the Act and demonstrated that such goals:

- (i) Appropriately reflect the ages of children, birth to five, participating in the program;
- (ii) Align with the Birth to Five Head Start Child Outcomes Framework, state early learning guidelines, and the requirements and expectations of the schools, to the extent that they apply to the ages of children, birth to five, participating in the program and at a minimum address the domains of language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development, and social and emotional development;
- (iii) Were established in consultation with the parents of children participating in the program.

(2) After December 9, 2011, taken steps to achieve the school readiness goals described under paragraph (b)(1) of this section demonstrated by:

- (i) Aggregating and analyzing aggregate child-level assessment data at least three times per year (except for programs operating less than 90 days, which will be required to do so at least twice within their operating program period) and using that data in combination with other program data to determine grantees' progress toward meeting its goals, to inform parents and the community of results, and to direct continuous improvement related to curriculum, instruction, professional development, program design and other program decisions; and,
- (ii) Analyzing individual ongoing, child-level assessment data for all children birth to age five participating in the program and using that data in combination with input from parents and families to determine each child's status and progress with regard to, at a minimum, language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development, and social and emotional

development and to individualize the experiences, instructional strategies, and services to best support each child.

(c) An agency has been determined during the relevant time period covered by the responsible HHS official's review under §1304.15:

(1) After December 9, 2011, to have an average score across all classrooms observed below the following minimum thresholds on any of the three CLASS: Pre-K domains from the most recent CLASS: Pre-K observation:

- (i) For the Emotional Support domain the minimum threshold is 4;
- (ii) For the Classroom Organization domain, the minimum threshold is 3;
- (iii) For the Instructional Support domain, the minimum threshold is 2;

(2) After December 9, 2011, to have an average score across all classrooms observed that is in the lowest 10 percent on any of the three CLASS: Pre-K domains from the most recent CLASS: Pre-K observation among those currently being reviewed unless the average score across all classrooms observed for that CLASS: Pre-K domain is equal to or above the standard of excellence that demonstrates that the classroom interactions are above an exceptional level of quality. For all three domains, the “standard of excellence” is a 6.

(d) An agency has had a revocation of its license to operate a Head Start or Early Head Start center or program by a state or local licensing agency during the relevant time period covered by the responsible HHS official's review under §1304.15, and the revocation has not been overturned or withdrawn before a competition for funding for the next five-year period is announced. A pending challenge to the license revocation or restoration of the license after correction of the violation shall not affect application of this requirement after the competition for funding for the next five-year period has been announced.

(e) An agency has been suspended from the Head Start or Early Head Start program by ACF during the relevant time period covered by the responsible HHS official's review under §1304.16 and the suspension has not been overturned or withdrawn. If there is a pending appeal and the agency did not have an opportunity to show cause as to why the suspension should not have been imposed or why the suspension should have been lifted if it had already been imposed under this part, the agency will not be required to compete based on this condition. If an agency has received an opportunity to show cause, the condition will be implemented regardless of appeal status.

(f) An agency has been debarred from receiving federal or state funds from any federal or state department or agency or has been disqualified from the Child and Adult Care Food Program (CACFP) any time during the relevant time period covered by the responsible HHS official's review under §1304.15 but has not yet been terminated or denied refunding by ACF. (A debarred agency will only be eligible to compete for Head Start funding if it receives a waiver described in 2 CFR 180.135.)

(g) An agency has been determined within the twelve months preceding the responsible HHS official's review under §1304.15 to be at risk of failing to continue functioning as a going concern. The final determination is made by the responsible HHS official based on a review of the findings and opinions of an audit conducted in accordance with section 647 of the Act; an audit, review or

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investigation by a state agency; a review by the National External Audit Review (NEAR) Center; or an audit, investigation or inspection by the Department of Health and Human Services Office of Inspector General.

### **§1304.12 Grantee reporting requirements concerning certain conditions.**

(a) Head Start agencies must report in writing to the responsible HHS official within 30 working days of December 9, 2011, if the agency has had a revocation of a license to operate a center by a state or local licensing entity during the period between June 12, 2009, and December 9, 2011.

(b) Head Start agencies must report in writing to the responsible HHS official within 10 working days of occurrence any of the following events following December 9, 2011:

- (1) The agency has had a revocation of a license to operate a center by a state or local licensing entity.
- (2) The agency has filed for bankruptcy or agreed to a reorganization plan as part of a bankruptcy settlement.
- (3) The agency has been debarred from receiving federal or state funds from any federal or state department or agency or has been disqualified from the Child and Adult Care Food Program (CACFP).
- (4) The agency has received an audit, audit review, investigation or inspection report from the agency's auditor, a state agency, or the cognizant federal audit agency containing a determination that the agency is at risk for ceasing to be a going concern.

### **§1304.13 Requirements to be considered for designation for a five-year period when the existing grantee in a community is not determined to be delivering a high-quality and comprehensive Head Start program and is not automatically renewed.**

In order to compete for the opportunity to be awarded a five-year grant, an agency must submit an application to the responsible HHS official that demonstrates that it is the most qualified entity to deliver a high-quality and comprehensive Head Start or Early Head Start program. The application must address the criteria for selection listed at section 641(d)(2) of the Act for Head Start. Any agency that has had its Head Start or Early Head Start grant terminated for cause in the preceding five years is excluded from competing in such competition for the next five years. A Head Start or Early Head Start agency that has had a denial of refunding, as defined in 45 CFR part 1305, in the preceding five years is also excluded from competing.

### **§1304.14 Tribal government consultation under the Designation Renewal System for when an Indian Head Start grant is being considered for competition.**

(a) In the case of an Indian Head Start or Early Head Start agency determined not to be delivering a high-quality and comprehensive Head Start or Early Head Start program, the responsible HHS official will 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 the Head Start program or Early Head Start program operated by the Indian Head Start or Indian Early Head Start agency.

(1) The plan will be established and implemented within six months after the responsible HHS official's determination.

(2) Not more than six months after the implementation of that plan, the responsible HHS official will reevaluate the performance of the Indian Head Start or Early Head Start agency.

(3) If the Indian Head Start or Early Head Start agency is still not delivering a high-quality and comprehensive Head Start or Early Head Start program, the responsible HHS official will conduct an open competition to select a grantee to provide services for the community currently being served by the Indian Head Start or Early Head Start agency.

(b) A non-Indian Head Start or Early Head Start agency will not be eligible to receive a grant to carry out an Indian Head Start program, unless there is no Indian Head Start or Early Head Start agency available for designation to carry out an Indian Head Start or Indian Early Head Start program.

(c) A non-Indian Head Start or Early Head Start agency may receive a grant to carry out an Indian Head Start program only until such time as an Indian Head Start or Indian Early Head Start agency in such community becomes available and is designated pursuant to this part.

### **§1304.15 Designation request, review and notification process.**

(a) Grantees must apply to be considered for Designation Renewal.

(1) For the transition period, each Head Start or Early Head Start agency wishing to be considered to have their designation as a Head Start or Early Head Start agency renewed for a five year period without competition shall request that status from ACF within six months of December 9, 2011.

(2) After the transition period, each Head Start or Early Head Start agency wishing to be considered to have their designation as a Head Start or Early Head Start agency renewed for another five year period without competition shall request that status from ACF at least 12 months before the end of their five year grant period or by such time as required by the Secretary.

(b) ACF will review the relevant data to determine if one or more of the conditions under §1304.11 were met by the Head Start and Early Head Start agency's program:

(1) During the first year of the transition period, ACF shall review the data on each Head Start and Early Head Start agency to determine if any of the conditions under §1304.11(a) or (d) through (g) were met by the agency's program since June 12, 2009.

(2) During the remainder of the transition period, ACF shall review the data on each Head Start and Early Head Start agency still under grants with indefinite project periods and for whom ACF has relevant data on all of the conditions in §1304.11(a) through (g) to determine if any of the conditions under §1304.11 (a) or (d) through (g) were met by the agency's program since June 12, 2009, or if the conditions under §1304.11(b) or (c) existed in the agency's program since December 9, 2011.

(3) Following the transition period, ACF shall review the data on each Head Start and Early Head Start agency in the fourth year of the grant to determine if any of the conditions under §1304.11 existed in the agency's program during the period of that grant.

(c) ACF will give notice to grantees on Designation Renewal System status, except as provided in §1304.14:

(1) During the first year of the transition period, ACF shall give written notice to all grantees meeting any of the conditions under §1304.11(a) or (d) through (g) since June 12, 2009, by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee, stating that the Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period, identifying the conditions ACF found, and summarizing the basis for the finding. All grantees that do not meet any of the conditions under §1304.11(a) or (d) through (g) will remain under indefinite project periods until the time period described under paragraph (b)(2) of this section.

(2) During the remainder of the transition period, ACF shall give written notice to all grantees still under grants with indefinite project periods and on the conditions in §1304.11(a) through (g) by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee stating either:

(i) The Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period because ACF finds that one or more conditions under §1304.11(a) through (g) has been met during the relevant time period described in paragraph (b) of this section, identifying the conditions ACF found, and summarizing the basis for the finding; or

(ii) That such agency has been determined on a preliminary basis to be eligible for renewed funding for five years without competition because ACF finds that none of the conditions under §1304.11 have been met during the relevant time period described in paragraph (b) of this section. If prior to the award of that grant, ACF determines that the grantee has met one of the conditions under §1304.11 during the relevant time period described in paragraph (b) of this section, this determination will change and the grantee will receive notice under paragraph (c)(2)(i) of this section that it will be required to compete for funding for an additional five-year period.

(3) Following the transition period, ACF shall give written notice to all grantees at least 12 months before the expiration date of a Head Start or Early Head Start agency's then current

grant by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee, stating:

- (i) The Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period because ACF finds that one or more conditions under §1304.11 were met by the agency's program during the relevant time period described in paragraph (b) of this section, identifying the conditions ACF found, and summarizing the basis for the finding; or,
- (ii) That such agency has been determined on a preliminary basis to be eligible for renewed funding for five years without competition because ACF finds that none of the conditions under §1304.11 have been met during the relevant time period described in paragraph (b) of this section. If prior to the award of that grant, ACF determines that the grantee has met one of the conditions under §1304.11 during the relevant time period described in paragraph (b) of this section, this determination will change and the grantee will receive notice under paragraph (c)(3)(i) of this section that it will be required to compete for funding for an additional five-year period.

### **§1304.16 Use of CLASS: Pre-K instrument in the Designation Renewal System.**

Except when all children are served in a single classroom, ACF will conduct observations of multiple classes operated by the grantee based on a random sample of all classes and rate the conduct of the classes observed using the CLASS: Pre-K instrument. When the grantee serves children in its program in a single class, that class will be observed and rated using the CLASS: Pre-K instrument. The domain scores for that class will be the domain scores for the grantee for that observation. After the observations are completed, ACF will report to the grantee the scores of the classes observed during the CLASS: Pre-K observations in each of the domains covered by the CLASS: Pre-K instrument. ACF will average CLASS: Pre-K instrument scores in each domain for the classes operated by the agency that ACF observed to determine the agency's score in each domain.

## **Subpart C — Selection of Grantees through Competition**

### **§1304.20 Selection among applicants.**

- (a) In selecting an agency to be designated to provide Head Start, Early Head Start, Migrant or Seasonal Head Start or tribal Head Start or Early Head Start services, the responsible HHS official will consider the applicable criteria at Section 641(d) of the Head Start Act and any other criteria outlined in the funding opportunity announcement.
- (b) In competitions to replace or potentially replace a grantee the responsible HHS official will also consider the extent to which the applicant supports continuity for participating children, the community and the continued employment of effective, well qualified personnel.
- (c) In competitions to replace or potentially replace a current grantee, the responsible HHS official will give priority to applicants that have demonstrated capacity in providing effective, comprehen-

sive, and well-coordinated early childhood education and development services and programs to children and their families.

## **Subpart D — Replacement of American Indian and Alaska Native Grantees**

### **§1304.30 Procedure for identification of alternative agency.**

(a) An Indian tribe whose Head Start grant has been terminated, relinquished, designated for competition or which has been denied refunding as a Head Start agency, may identify an alternate agency and request the responsible HHS official to designate such agency as an alternative agency to provide Head Start services to the tribe if:

- (1) The tribe was the only agency that was receiving federal financial assistance to provide Head Start services to members of the tribe; and,
- (2) The tribe would be otherwise precluded from providing such services to its members because of the termination or denial of refunding.

(b)

(1) The responsible HHS official, when notifying a tribal grantee of the intent to terminate financial assistance or deny its application for refunding, or its designation for competition must notify the grantee that it may identify an agency and request that the agency serve as the alternative agency in the event that the grant is terminated or refunding denied, or the grant is not renewed without competition.

(2) The tribe must identify the alternate agency to the responsible HHS official in writing.

(3) The responsible HHS official will notify the tribe, in writing, whether the alternative agency proposed by the tribe is found to be eligible for Head Start funding and capable of operating a Head Start program. If the alternative agency identified by the tribe is not an eligible agency capable of operating a Head Start program, the tribe will have 15 days from the date of the sending of the notification to that effect from the responsible HHS official to identify another agency and request that the agency be designated. The responsible HHS official will notify the tribe in writing whether the second proposed alternate agency is found to be an eligible agency capable of operating the Head Start program.

(4) If the tribe does not identify an eligible, suitable alternative agency, a grantee will be designated under these regulations.

(c) If the tribe appeals a termination of financial assistance or a denial of refunding, it will, consistent with the terms of §1304.5, continue to be funded pending resolution of the appeal. However, the responsible HHS official and the grantee will proceed with the steps outlined in this regulation during the appeal process.

(d) If the tribe does not identify an agency and request that the agency be appointed as the alter-

native agency, the responsible HHS official will seek a permanent replacement grantee under these regulations.

### **§1304.31 Requirements of alternative agency.**

The agency identified by the Indian tribe must establish that it meets all requirements established by the Head Start Act and these requirements for designation as a Head Start grantee and that it is capable of conducting a Head Start program. The responsible HHS official, in deciding whether to designate the proposed agency, will analyze the capacity and experience of the agency according to the criteria found in section 641(d) of the Head Start Act and §1304.20.

### **§1304.32 Alternative agency—prohibition.**

(a) No agency will be designated as the alternative agency pursuant to this subpart if the agency includes an employee who:

- (1) Served on the administrative or program staff of the Indian tribal grantee described under section 646(e)(1)(A) of the Act; and
- (2) Was responsible for a deficiency that:
  - (i) Relates to the performance standards or financial management standards described in section 641A(a)(1) of the Act; and,
  - (ii) Was the basis for the termination of assistance under section 646(e)(1)(A) of the Act or denial of refunding described in §1304.4.

(b) The responsible HHS official shall determine whether an employee was responsible for a deficiency within the meaning and context of this section.

## **Subpart E — Head Start Fellows Program**

### **§1304.40 Purpose.**

As provided in section 648A(d) of the Act, the Head Start Fellows Program is designed to enhance the ability of Head Start Fellows to make significant contributions to Head Start and to other child development and family services programs.

### **§1304.41 Head Start Fellows Program.**

- (a) Selection. An applicant must be working on the date of application in a local Head Start program or otherwise working in the field of child development and family services. The qualifications of the applicants for Head Start Fellowship positions will be competitively reviewed.
- (b) Placement. Head Start Fellows may be placed in the Head Start national and regional offices; local Head Start agencies and programs; institutions of higher education; public or private entities and organizations concerned with services to children and families; and other appropriate settings.

(c) **Restrictions.** A Head Start Fellow who is not an employee of a local Head Start agency or program may only be placed in the national or regional offices within the Department of Health and Human Services that administer Head Start or local Head Start agencies. Head Start Fellows shall not be placed in any agency whose primary purpose, or one of whose major purposes is to influence federal, state or local legislation.

(d) **Duration.** Head Start Fellowships will be for terms of one year, and may be renewed for a term of one additional year.

(e) **Status.** For the purposes of compensation for injuries under chapter 81 of title 5, United States Code, Head Start Fellows shall be considered to be employees, or otherwise in the service or employment, of the federal government. Head Start Fellows assigned to the national or regional offices within the Department of Health and Human Services 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 the purposes of any administrative standards of conduct applicable to the employees of the agency to which they are assigned.

## Part 1305 — Definitions

Sec.

1305.1 Purpose.

1305.2 Terms.

AUTHORITY: 42 U.S.C. 9801 *et seq.*

### §1305.1 Purpose.

The purpose of this part is to define terms for the purposes of this subchapter.

### §1305.2 Terms.

For the purposes of this subchapter, the following definitions apply:

*ACF* means the Administration for Children and Families in the Department of Health and Human Services.

*Act* means the Head Start Act, Sec. 635 *et seq.*, Pub. L. 97-35, 95 Stat. 499-511 (codified as amended at 42 U.S.C. Section 9801, *et seq.*).

*Agency* means the body that receives the Head Start grant.

*Aggregate child-level assessment data* means the data collected by an agency on the status and progress of the children it serves that have been combined to provide summary information about groups of children enrolled in specific classes, centers, home-based or other options, groups or settings, or other groups of children such as dual language learners, or to provide summary information by specific domains of development.

*Allowable alternate vehicle* means a vehicle designed for carrying eleven or more people, including the

driver, that meets all the Federal Motor Vehicle Safety Standards applicable to school buses, except 49 CFR 571.108 and 571.131.

*Budget period* means the interval of time, into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes.

*Case plan* is defined as presented in 42 U.S.C. 675(1) which, in summary, is a written document that must include a number of specified items including, but is not limited to, a plan for safe and proper care of the child in foster care placement, health records, and a plan for ensuring the educational stability of the child in foster care.

*Child-level assessment data* means the data collected by an agency on an individual child from one or more valid and reliable assessments of a child's status and progress, including but not limited to direct assessment, structured observations, checklists, staff or parent report measures, and portfolio records or work samples.

*Child records* means records that:

- (1) Are directly related to the child;
- (2) Are maintained by the program, or by a party acting for the program; and
- (3) Include information recorded in any way, such as print, electronic, or digital means, including media, video, image, or audio format.

*Child restraint system* means any device designed to restrain, seat, or position children that meets the current requirements of Federal Motor Vehicle Safety Standard No. 213, Child Restraint Systems, 49 CFR 571.213, for children in the weight category established under the regulation, or any device designed to restrain, seat, or position children, other than a Type I seat belt as defined at 49 CFR 571.209, for children not in the weight category currently established by 49 CFR 571.213.

*Child with a disability* is defined in the same manner as presented in the Head Start Act, 42 U.S.C. 9801.

*CLASS: Pre-K* means The Classroom Assessment Scoring System (CLASS). The CLASS is an observational instrument that assesses classroom quality in preschool through third grade classrooms. This tool meets the requirements described in 641(c)(1)(D) and 641A(c)(2)(F) of the Head Start Act (42 U.S.C. 9836(c)(1)(D) and 9836a(c)(2)(F)). The CLASS assesses three domains of classroom experience: Emotional Support, Classroom Organization, and Instructional Support.

- (1) Emotional Support measures children's social and emotional functioning in the classroom, and includes four dimensions: Positive Climate, Negative Climate, Teacher Sensitivity and Regard for Student Perspectives. Positive Climate addresses the emotional connection, respect, and enjoyment demonstrated between teachers and children and among children. Negative Climate addresses the level of expressed negativity such as anger, hostility, or aggression exhibited by teachers and/or children in the classroom. Teacher Sensitivity addresses teachers' awareness of and responsiveness to children's academic and emotional concerns. Regard for Student Perspectives addresses the degree to which teachers' interactions with children and classroom activities place an emphasis on children's interests, motivations, and points of view.

(2) Classroom Organization measures a broad array of classroom processes related to the organization and management of children's behavior, time, and attention in the classroom. It includes three dimensions: Behavior Management, Productivity, and Instructional Learning Formats. Behavior Management addresses how effectively teachers monitor, prevent, and redirect behavior. Productivity addresses how well the classroom runs with respect to routines and the degree to which teachers organize activities and directions so that maximum time can be spent on learning activities. Instructional Learning Formats addresses how teachers facilitate activities and provide interesting materials so that children are engaged and learning opportunities are maximized.

(3) Instructional Support measures the ways in which teachers implement curriculum to effectively support cognitive and language development. It includes three dimensions: Concept Development, Quality of Feedback, and Language Modeling. Concept Development addresses how teachers use instructional discussions and activities to promote children's higher order thinking skills in contrast to a focus on rote instruction. Quality of Feedback addresses how teachers extend children's learning through their responses to children's ideas, comments, and work. Language Modeling addresses the extent to which teachers facilitate and encourage children's language.

(4) Assessments with the CLASS involve observation-based measurement of each dimension on a seven point scale. A score ranging from 1 (minimally characteristic) to 7 (highly characteristic) is given for each dimension and represents the extent to which that dimension is characteristic of that classroom. Relevant dimension scores are used to calculate each domain score.

*Commercial Driver's License (CDL)* means a license issued by a state or other jurisdiction, in accordance with the standards contained in 49 CFR part 383, to an individual which authorizes the individual to operate a class of commercial motor vehicles.

*Construction* means new buildings, and excludes renovations, alterations, additions, or work of any kind to existing buildings.

*Continuity of care* means Head Start or Early Head Start services provided to children in a manner that promotes primary caregiving and minimizes the number of transitions in teachers and teacher assistants that children experience over the course of the day, week, program year, and to the extent possible, during the course of their participation from birth to age three in Early Head Start and in Head Start.

*Deficiency* is defined in the same manner as presented in the Head Start Act, 42 U.S.C. 9801.

*Delegate agency* is defined in the same manner as presented in the Head Start Act, 42 U.S.C. 9801.

*Development and administrative costs* mean costs incurred in accordance with an approved Head Start budget which do not directly relate to the provision of program component services, including services to children with disabilities, as set forth and described in the Head Start program performance standards (45 CFR part 1304).

*Disclosure* means to permit access to or the release, transfer, or other communication of PII con-

tained in child records by any means, including oral, written, or electronic means, to any party except the party identified as the party that provided or created the record.

*Double session variation* means a center-based option that employs a single teacher to work with one group of children in the morning and a different group of children in the afternoon.

*Dual benefit costs* mean costs incurred in accordance with an approved Head Start budget which directly relate to both development and administrative functions and to the program component services, including services to children with disabilities, as set forth and described in the Head Start program performance standards (45 CFR part 1304).

*Dual language learner* means a child who is acquiring two or more languages at the same time, or a child who is learning a second language while continuing to develop their first language. The term "dual language learner" may encompass or overlap substantially with other terms frequently used, such as bilingual, English language learner (ELL), Limited English Proficient (LEP), English learner, and children who speak a Language Other Than English (LOTE).

*Early Head Start agency* means a public or private non-profit or for-profit entity designated by ACF to operate an Early Head Start program to serve pregnant women and children from birth to age three, pursuant to Section 645A(e) of the Head Start Act.

*Enrolled (or any variation of)* means a child has been accepted and attended at least one class for center-based or family child care option or at least one home visit for the home-based option.

*Enrollment year* means the period of time, not to exceed twelve months, during which a Head Start program provides center or home-based services to a group of children and their families.

*Facility* means a structure, such as a building or modular unit, appropriate for use in carrying out a Head Start program and used primarily to provide Head Start services, including services to children and their families, or for administrative purposes or other activities necessary to carry out a Head Start program.

*Family* means all persons living in the same household who are supported by the child's parent(s) or guardian(s) income; and are related to the child's parent(s) or guardian(s) by blood, marriage, or adoption; or are the child's authorized caregiver or legally responsible party.

*Federal interest* is a property right which secures the right of the federal awarding agency to recover the current fair market value of its percentage of participation in the cost of the facility in the event the facility is no longer used for Head Start purposes by the grantee or upon the disposition of the property. When a grantee uses Head Start funds to purchase, construct or renovate a facility, or make mortgage payments, it creates a federal interest. The federal interest includes any portion of the cost of purchase, construction, or renovation contributed by or for the entity, or a related donor organization, to satisfy a matching requirement.

*Federal Motor Vehicle Safety Standards (FMVSS)* means the National Highway and Traffic Safety Administration's standards for motor vehicles and motor vehicle equipment (49 CFR part 571) established under section 30111 of Title 49, United States Code.

*Financial viability* means that an organization is able to meet its financial obligations, balance funding and expenses and maintain sufficient funding to achieve organizational goals and objectives.

*Fixed route* means the established routes to be traveled on a regular basis by vehicles that transport children to and from Head Start or Early Head Start program activities, and which include specifically designated stops where children board or exit the vehicle.

*Foster care* means 24-hour substitute care for children placed away from their parents or guardians and for whom the state agency has placement and care responsibility. This includes, but is not limited to, placements in foster family homes, foster homes of relatives, group homes, emergency shelters, residential facilities, child-care institutions, and pre-adoptive homes. A child is in foster care in accordance with this definition regardless of whether the foster care facility is licensed and payments are made by the state or local agency for the care of the child, whether adoption subsidy payments are being made prior to the finalization of an adoption, or whether there is federal matching of any payments that are made.

*Full-working-day* means not less than 10 hours of Head Start or Early Head Start services per day.

*Funded enrollment* means the number of participants which the Head Start grantee is to serve, as indicated on the grant award.

*Going concern* means an organization that operates without the threat of liquidation for the foreseeable future, a period of at least 12 months.

*Grantee* means the local public or private non-profit agency or for-profit agency which has been designated as a Head Start agency under 42 U.S.C. 9836 and which has been granted financial assistance by the responsible HHS official to operate a Head Start program.

*Head Start agency* means a local public or private non-profit or for-profit entity designated by ACF to operate a Head Start program to serve children age three to compulsory school age, pursuant to section 641(b) and (d) of the Head Start Act.

*Head Start Early Learning Outcomes Framework: Ages Birth to Five* means the Head Start Early Learning Outcomes Framework: Ages Birth to Five, which describes the skills, behaviors, and knowledge that programs must foster in all children. It includes five central domains: Approaches to Learning; Social and Emotional Development; Language and Literacy; Cognition; and Perceptual, Motor, and Physical Development. These central domains are broken into five domains for infants and toddlers and seven domains for preschoolers. Infant and Toddler domains are Approaches to Learning; Social and Emotional Development; Language and Communication; Cognition; and Perceptual, Motor, and Physical Development. Preschool domains are Approaches to Learning; Social and Emotional Development; Language and Communication; Literacy; Mathematics Development; Scientific Reasoning; and Perceptual, Motor, and Physical Development. Domains are divided into sub-domains with goals that describe broad skills, behaviors, and concepts that are important for school success. Developmental progressions describe the skills, behaviors and concepts that children may demonstrate as they progress. As described in the Head Start Act, the Framework is central to program operations that promote high-quality early learning environments (42 U.S.C. 9832(21)(G)(iv)(II)(aa), 42 U.S.C. 9835(o), 42 U.S.C. 9836(d)(2)(C), 42 U.S.C. 9836a(g)(2)(A), 42 U.S.C. 9837(f)(3)(E), 42 U.S.C. 9837a(a)(3), 42 U.S.C. 9837a(a)(14), 42 U.S.C. 9837b(a)(2)(B)(iii), 42 U.S.C. 9837b(a)(4)(A)(i), and 42 U.S.C. 9837b(a)(4)(B)(iii)).

*Homeless children* means the same as homeless children and youths in Section 725(2) of the McKinney-Vento Homeless Assistance Act at 42 U.S.C. 11434a (2).

*Home visitor* means the staff member in the home-based program option assigned to work with parents to provide comprehensive services to children and their families through home visits and group socialization activities.

*Hours of planned class operations* means hours when children are scheduled to attend. Professional development, training, orientation, teacher planning, data analysis, parent-teacher conferences, home visits, classroom sanitation, and transportation do not count toward the hours of planned class operations.

*Income* means gross cash income and includes earned income, military income (including pay and allowances, except those described in Section 645(a)(3)(B) of the Act), veteran's benefits, Social Security benefits, unemployment compensation, and public assistance benefits. Additional examples of gross cash income are listed in the definition of "income" which appears in U.S. Bureau of the Census, Current Population Reports, Series P-60-185 (available at <https://www2.census.gov/prod2/popscan/p60-185.pdf>).

*Indian Head Start agency* means a program operated by an Indian tribe (as defined by the Act) or designated by an Indian tribe to operate on its behalf.

*Indian tribe* is defined in the same manner as presented in the Head Start Act, 42 U.S.C. 9801.

*Individualized Education Program* is defined in the same manner as presented in the Individuals with Disabilities Education Act (20 U.S.C. 1400 *et seq.*).

*Individualized Family Service Plan* is defined in the same manner as presented in the Individuals with Disabilities Education Act (20 U.S.C. 1400 *et seq.*).

*Legal status* means the existence of an applicant or grantee as a public agency or organization under the law of the state in which it is located, or existence as a private nonprofit or for-profit agency or organization as a legal entity recognized under the law of the state in which it is located. Existence as a private non-profit agency or organization may be established under applicable state or federal law.

*Local agency responsible for implementing IDEA* means the early intervention service provider under Part C of IDEA and the local educational agency under Part B of IDEA.

*Major renovation* means any individual or collection renovation that has a cost equal to or exceeding \$250,000. It excludes minor renovations and repairs except when they are included in a purchase application.

*Migrant family* means, for purposes of Head Start eligibility, a family with children under the age of compulsory school attendance who changed their residence by moving from one geographic location to another, either intrastate or interstate, within the preceding two years for the purpose of engaging in agricultural work and whose family income comes primarily from this activity.

*Migrant or Seasonal Head Start Program* means:

- (1) With respect to services for migrant farm workers, 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,

(2) 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.

*Minor renovation* means improvements to facilities, which do not meet the definition of major renovation.

*Modular unit* means a portable prefabricated structure made at another location and moved to a site for use by a Head Start grantee to carry out a Head Start program, regardless of the manner or extent to which the modular unit is attached to underlying real property.

*National Driver Register* means the National Highway Traffic Safety Administration's automated system for assisting state driver license officials in obtaining information regarding the driving records of individuals who have been denied licenses for cause; had their licenses denied for cause, had their licenses canceled, revoked, or suspended for cause, or have been convicted of certain serious driving offenses.

*Parent* means a Head Start child's mother or father, other family member who is a primary caregiver, foster parent or authorized caregiver, guardian or the person with whom the child has been placed for purposes of adoption pending a final adoption decree.

*Participant* means a pregnant woman or child who is enrolled in and receives services from a Head Start, an Early Head Start, a Migrant or Seasonal Head Start, or an American Indian and Alaska Native Head Start program.

*Personally identifiable information (PII)* means any information that could identify a specific individual, including but not limited to a child's name, name of a child's family member, street address of the child, social security number, or other information that is linked or linkable to the child.

*Program* means a Head Start, Early Head Start, migrant, seasonal, or tribal program, funded under the Act and carried out by an agency, or delegate agency, to provide ongoing comprehensive child development services.

*Program costs* mean costs incurred in accordance with an approved Head Start budget which directly relate to the provision of program component services, including services to children with disabilities, as set forth and described in the Head Start Program Performance Standards (45 CFR part 1304).

*Purchase* means to buy an existing facility, including outright purchase, down payment or through payments made in satisfaction of a mortgage or other loan agreement, whether principal, interest or an allocated portion principal and/or interest. The use of grant funds to make a payment under a capital lease agreement, as defined in the cost principles, is a purchase subject to these provisions. Purchase also refers to an approved use of Head Start funds to continue paying the cost of purchasing facilities or refinance an existing loan or mortgage beginning in 1987.

*Real property* means land, including land improvements, buildings, structures and all appurtenances thereto, excluding movable machinery and equipment.

*Recruitment area* means that geographic locality within which a Head Start program seeks to enroll

Head Start children and families. The recruitment area can be the same as the service area or it can be a smaller area or areas within the service area.

*Relevant time period* means:

- (1) The 12 months preceding the month in which the application is submitted; or
- (2) 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.

*Repair* means maintenance that is necessary to keep a Head Start facility in working condition. Repairs do not add significant value to the property or extend its useful life.

*Responsible HHS official* means the official of the Department of Health and Human Services who has authority to make grants under the Act.

*School readiness goals* mean the expectations of children's status and progress across domains of language and literacy development, cognition and general knowledge, approaches to learning, physical well-being and motor development, and social and emotional development that will improve their readiness for kindergarten.

*School bus* means a motor vehicle designed for carrying 11 or more persons (including the driver) and which complies with the Federal Motor Vehicle Safety Standards applicable to school buses.

*Service area* means the geographic area identified in an approved grant application within which a grantee may provide Head Start services.

*Staff* means paid adults who have responsibilities related to children and their families who are enrolled in programs.

*State* is defined in the same manner as presented in the Head Start Act, 42 U.S.C. 9801.

*Termination of a grant or delegate agency agreement* means permanent withdrawal of the grantee's or delegate agency's authority to obligate previously awarded grant funds before that authority would otherwise expire. It also means the voluntary relinquishment of that authority by the grantee or delegate agency. Termination does not include:

- (1) Withdrawal of funds awarded on the basis of the grantee's or delegate agency's underestimate of the unobligated balance in a prior period;
- (2) Refusal by the funding agency to extend a grant or award additional funds (such as refusal to make a competing or noncompeting continuation renewal, extension or supplemental award);
- (3) Withdrawal of the unobligated balance as of the expiration of a grant; and
- (4) Annulment, i.e., voiding of a grant upon determination that the award was obtained fraudulently or was otherwise illegal or invalid from its inception.

*Total approved costs* mean the sum of all costs of the Head Start program approved for a given budget period by the Administration for Children and Families, as indicated on the Financial Assis-

tance Award. Total approved costs consist of the federal share plus any approved non-federal match, including non-federal match above the statutory minimum.

*Transition period* means the three-year time period after December 9, 2011, on the Designation Renewal System during which ACF will convert all of the current continuous Head Start and Early Head Start grants into five-year grants after reviewing each grantee to determine if it meets any of the conditions under §1304.12 of this chapter that require recompetition or if the grantee will receive its first five-year grant non-competitively.

*Transportation services* means the planned transporting of children to and from sites where an agency provides services funded under the Head Start Act. Transportation services can involve the pick-up and discharge of children at regularly scheduled times and pre-arranged sites, including trips between children's homes and program settings. The term includes services provided directly by the Head Start and Early Head Start grantee or delegate agency and services which such agencies arrange to be provided by another organization or an individual. Incidental trips, such as transporting a sick child home before the end of the day, or such as might be required to transport small groups of children to and from necessary services, are not included under the term.

*Verify* or any variance of the word means to check or determine the correctness or truth by investigation or by reference.

# STANDARDS



## CENTER OF EXCELLENCE DEVELOPED CSBG ORGANIZATIONAL 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](http://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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## 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 | Private**      **The organization demonstrates low-income individuals' participation in its activities.**

**Standard 1.1 | Public**      **The department demonstrates low-income individuals' participation in its activities.**

**Standard 1.2 | Private**      **The organization analyzes information collected directly from low-income individuals as part of the community assessment.**

**Standard 1.2 | Public**      **The department analyzes information collected directly from low-income individuals as part of the community assessment.**

**Standard 1.3 | Private**      **The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.**

**Standard 1.3 | Public**      **The department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.**

## 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.

|                               |                                                                                                                                                                                                                                                                                                                                           |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 2.1   Private</b> | The organization has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.                                                                                                                                               |
| <b>Standard 2.1   Public</b>  | The department has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.                                                                                                                                                 |
| <b>Standard 2.2   Private</b> | 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. |
| <b>Standard 2.2   Public</b>  | The department 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.   |
| <b>Standard 2.3   Private</b> | The organization communicates its activities and its results to the community.                                                                                                                                                                                                                                                            |
| <b>Standard 2.3   Public</b>  | The department communicates its activities and its results to the community.                                                                                                                                                                                                                                                              |
| <b>Standard 2.4   Private</b> | The organization documents the number of volunteers and hours mobilized in support of its activities.                                                                                                                                                                                                                                     |
| <b>Standard 2.4   Public</b>  | The department 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.

|                               |                                                                                                                                                                                                       |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 3.1   Private</b> | The organization conducted a community assessment and issued a report within the past 3 years.                                                                                                        |
| <b>Standard 3.1   Public</b>  | The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.                                                             |
| <b>Standard 3.2   Private</b> | 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). |
| <b>Standard 3.2   Public</b>  | As part of the community assessment, the department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).   |
| <b>Standard 3.3   Private</b> | The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.                                                          |
| <b>Standard 3.3   Public</b>  | The department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.                                                            |
| <b>Standard 3.4   Private</b> | The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.                                                                     |
| <b>Standard 3.4   Public</b>  | The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.                                                                     |
| <b>Standard 3.5   Private</b> | The governing board formally accepts the completed community assessment.                                                                                                                              |
| <b>Standard 3.5   Public</b>  | The tripartite board/advisory body 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 | Private** 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 4.1 | Public** The tripartite board/advisory body has reviewed the department's mission statement within the past 5 years and assured that:

1. The mission addresses poverty; and
2. The CSBG programs and services are in alignment with the mission.

**Standard 4.2 | Private** The organization's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.

**Standard 4.2 | Public** The department's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.

**Standard 4.3 | Private** 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 4.3 | Public** The department's Community Action plan and strategic plan document the continuous use of the full Result Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.

**Standard 4.4 | Private** The governing board receives an annual update on the success of specific strategies included in the Community Action plan.

**Standard 4.4 | Public** The tripartite board/advisory body receives an annual update on the success of

specific strategies included in the Community Action plan.

- |                               |                                                                                                                                                                                                                                                                                  |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 4.5   Private</b> | 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. |
| <b>Standard 4.5   Public</b>  | The department adheres to its local government's policies and procedures around interim appointments and processes for filling a permanent vacancy.                                                                                                                              |
| <b>Standard 4.6   Private</b> | An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.                                                                                                                                              |
| <b>Standard 4.6   Public</b>  | The department complies with its local government's risk assessment policies and procedures.                                                                                                                                                                                     |

## 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 | Private** 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 5.1 | Public** The department's tripartite board/advisory body is structured in compliance with the CSBG Act, by either:

1. Selecting the board members as follows:
  - At least one third are democratically-selected representatives of the low-income community;
  - One-third are local elected officials (or their representatives); and
  - The remaining members are from major groups and interests in the community; or
2. Selecting the board through another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.

**Standard 5.2 | Private** 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 5.2 | Public** The department's tripartite board/advisory body either has:

1. 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, or
2. Another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.

*Please note under IM 82 for Public Entities the law also requires that a minimum of 1/3 of tripartite board membership be comprised of representatives of low-income individuals and families who reside in areas served.*

|                               |                                                                                                                                                                                                |
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| <b>Standard 5.3   Private</b> | The organization's bylaws have been reviewed by an attorney within the past 5 years.                                                                                                           |
| <b>Standard 5.3   Public</b>  | Not applicable: Review of bylaws by an attorney is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities. |
| <b>Standard 5.4   Private</b> | The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.                                                                         |
| <b>Standard 5.4   Public</b>  | The department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past 2 years.                                              |
| <b>Standard 5.5   Private</b> | The organization's governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.                                          |
| <b>Standard 5.5   Public</b>  | The department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.                |
| <b>Standard 5.6   Private</b> | Each governing board member has signed a conflict of interest policy within the past 2 years.                                                                                                  |
| <b>Standard 5.6   Public</b>  | Each tripartite board/advisory body member has signed a conflict of interest policy, or comparable local government document, within the past 2 years.                                         |
| <b>Standard 5.7   Private</b> | The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.                                                                |
| <b>Standard 5.7   Public</b>  | The department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.                                                   |
| <b>Standard 5.8   Private</b> | Governing board members have been provided with training on their duties and responsibilities within the past 2 years.                                                                         |
| <b>Standard 5.8   Public</b>  | Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years.                                                          |
| <b>Standard 5.9   Private</b> | The organization's governing board receives programmatic reports at each regular board meeting.                                                                                                |
| <b>Standard 5.9   Public</b>  | The department's tripartite board/advisory body receives programmatic reports at each regular board/advisory 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.

|                               |                                                                                                                                                                                                                                                                                     |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 6.1   Private</b> | The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.                                                                                                                                                  |
| <b>Standard 6.1   Public</b>  | The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan. |
| <b>Standard 6.2   Private</b> | 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.                                                                                                 |
| <b>Standard 6.2   Public</b>  | The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.                                                               |
| <b>Standard 6.3   Private</b> | The approved strategic plan contains family, agency, and/or community goals.                                                                                                                                                                                                        |
| <b>Standard 6.3   Public</b>  | The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.                                                                                                                                                                      |
| <b>Standard 6.4   Private</b> | Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.                                                                                                                                        |
| <b>Standard 6.4   Public</b>  | Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.                                                                                                        |
| <b>Standard 6.5   Private</b> | The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.                                                                                                                                                        |
| <b>Standard 6.5   Public</b>  | The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document 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 | Private** 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 7.1 | Public** Not applicable: Local governmental personnel policies are outside of the purview of the department and the tripartite board/ advisory body, therefore this standard does not apply to public entities.

**Standard 7.2 | Private** 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 7.2 | Public** The department follows local governmental policies in making available the employee handbook (or personnel policies in cases without a handbook) to all staff and in notifying staff of any changes.

**Standard 7.3 | Private** The organization has written job descriptions for all positions, which have been updated within the past 5 years.

**Standard 7.3 | Public** The department has written job descriptions for all positions. Updates may be outside of the purview of the department.

**Standard 7.4 | Private** The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.

**Standard 7.4 | Public** The department follows local government procedures for performance appraisal of the department head.

**Standard 7.5 | Private** The governing board reviews and approves CEO/executive director compensation within every calendar year.

**Standard 7.5 | Public** The compensation of the department head is made available according to local government procedure.

**Standard 7.6 | Private** The organization has a policy in place for regular written evaluation of employees by their supervisors.

**Standard 7.6 | Public** The department follows local governmental policies for regular written evaluation of employees by their supervisors.

|                               |                                                                                                                                                                   |
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| <b>Standard 7.7   Private</b> | The organization has a whistleblower policy that has been approved by the governing board.                                                                        |
| <b>Standard 7.7   Public</b>  | The department provides a copy of any existing local government whistleblower policy to members of the tripartite board/advisory body at the time of orientation. |
| <b>Standard 7.8   Private</b> | All staff participate in a new employee orientation within 60 days of hire.                                                                                       |
| <b>Standard 7.8   Public</b>  | The department follows local governmental policies for new employee orientation.                                                                                  |
| <b>Standard 7.9   Private</b> | The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.                                                     |
| <b>Standard 7.9   Public</b>  | The department 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 | Private** 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 8.1 | Public** The department's annual audit is completed through the local governmental process in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity's full audit.

**Standard 8.2 | Private** 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 8.2 | Public** The department follows local government procedures in addressing any audit findings related to CSBG funding.

**Standard 8.3 | Private** The organization's auditor presents the audit to the governing board.

**Standard 8.3 | Public** The department's tripartite board/advisory body is notified of the availability of the local government audit.

**Standard 8.4 | Private** The governing board formally receives and accepts the audit.

**Standard 8.4 | Public** The department's tripartite board/advisory body is notified of any findings related to CSBG funding.

**Standard 8.5 | Private** The organization has solicited bids for its audit within the past 5 years.

**Standard 8.5 | Public** Not applicable: The audit bid process is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.

**Standard 8.6 | Private** The IRS Form 990 is completed annually and made available to the governing board for review.

**Standard 8.6 | Public** Not applicable: The Federal tax reporting process for local governments is outside of the purview of tripartite board/advisory body therefore this standard does not apply to public entities.

|                                |                                                                                                                                                                                                                                                                                |
|--------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 8.7</b>   Private  | The governing board receives financial reports at each regular meeting that include the following:<br>1. Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and<br>2. Balance sheet/statement of financial position. |
| <b>Standard 8.7</b>   Public   | The tripartite board/advisory body receives financial reports at each regular meeting, for those program(s) the body advises, as allowed by local government procedure.                                                                                                        |
| <b>Standard 8.8</b>   Private  | All required filings and payments related to payroll withholdings are completed on time.                                                                                                                                                                                       |
| <b>Standard 8.8</b>   Public   | Not applicable: The payroll withholding process for local governments is outside of the purview of the department, therefore this standard does not apply to public entities.                                                                                                  |
| <b>Standard 8.9</b>   Private  | The governing board annually approves an organization-wide budget.                                                                                                                                                                                                             |
| <b>Standard 8.9</b>   Public   | The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.                                                                                                                                                          |
| <b>Standard 8.10</b>   Private | The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.                                                                                                                                   |
| <b>Standard 8.10</b>   Public  | Not applicable: The fiscal policies for local governments are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.                                                                      |
| <b>Standard 8.11</b>   Private | A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.                                                                                                                                                                 |
| <b>Standard 8.11</b>   Public  | Not applicable: Local governmental procurement policies are outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.                                                                        |
| <b>Standard 8.12</b>   Private | The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.                                                                                                                                              |
| <b>Standard 8.12</b>   Public  | Not applicable: A written cost allocation plan is outside of the purview of the department and the tripartite board/advisory body, therefore this standard does not apply to public entities.                                                                                  |
| <b>Standard 8.13</b>   Private | The organization has a written policy in place for record retention and destruction.                                                                                                                                                                                           |
| <b>Standard 8.13</b>   Public  | The department follows local governmental policies for document 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.

|                               |                                                                                                                                                                                                                                                                         |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Standard 9.1   Private</b> | <b>The organization has a system or systems in place to track and report client demographics and services customers receive.</b>                                                                                                                                        |
| <b>Standard 9.1   Public</b>  | <b>The department has a system or systems in place to track and report client demographics and services customers receive.</b>                                                                                                                                          |
| <b>Standard 9.2   Private</b> | <b>The organization has a system or systems in place to track family, agency, and/or community outcomes.</b>                                                                                                                                                            |
| <b>Standard 9.2   Public</b>  | <b>The department has a system or systems in place to track family, agency, and/or community outcomes.</b>                                                                                                                                                              |
| <b>Standard 9.3   Private</b> | <b>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.</b>              |
| <b>Standard 9.3   Public</b>  | <b>The department has presented to the tripartite board/advisory body 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.</b> |
| <b>Standard 9.4   Private</b> | <b>The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.</b>                                                                                                                      |
| <b>Standard 9.4   Public</b>  | <b>The department submits its annual CSBG Information Survey data report and it reflects client demographics and CSBG-funded outcomes.</b>                                                                                                                              |

# 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.caplaw.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 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-----------------------------|
| <b>Low Income Community Representatives are encouraged to:</b>                                                                                                                                                                                                                                                                                      |                         |                             |
| • 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 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------|-----------------|
| <b>Risk Assessment</b>                                                                                                                                                                                                                           |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You review each new funding agreement related to your program to identify compliance requirements &amp; determine whether adequate control systems are in place to ensure compliance</li> </ul>           |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You are required to report risks you observe &amp; clear about the process for reporting &amp; investigating your concerns</li> </ul>                                                                     |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You are regularly asked to participate in risk assessment discussions</li> </ul>                                                                                                                          |                   |                       |                 |
| <b>Control Environment</b>                                                                                                                                                                                                                       |                   |                       |                 |
| <ul style="list-style-type: none"> <li>The Board has established an environment which demands honesty and integrity and encourages all staff to report concerns without retaliation</li> </ul>                                                   |                   |                       |                 |
| <ul style="list-style-type: none"> <li>Management demonstrates the highest standards of honesty &amp; integrity and encourages all staff to report concerns without retaliation</li> </ul>                                                       |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You seek feedback from staff you supervise to understand their perceptions regarding expectations for honesty and integrity</li> </ul>                                                                    |                   |                       |                 |
| <ul style="list-style-type: none"> <li>Procedures for dealing with concerns about honesty &amp; integrity are clear</li> </ul>                                                                                                                   |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You have confidence that “whistleblowers” will be treated respectfully &amp; will not face retaliation</li> </ul>                                                                                         |                   |                       |                 |
| <b>Control Activities</b>                                                                                                                                                                                                                        |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You have meaningful input in the job descriptions and hiring decisions for all positions within your program</li> </ul>                                                                                   |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You review &amp; approve the personnel activity reports for all employees you directly supervise</li> </ul>                                                                                               |                   |                       |                 |
| <ul style="list-style-type: none"> <li>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</li> </ul> |                   |                       |                 |
| <ul style="list-style-type: none"> <li>You are responsible for ensuring that all</li> </ul>                                                                                                                                                      |                   |                       |                 |

|                                                                                                                                                                                                                                          |  |  |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| purchases made through your program are necessary, reasonable, and allowable                                                                                                                                                             |  |  |  |
| <ul style="list-style-type: none"> <li>You provide input into procurement requirements for goods and services which will be utilized for your program</li> </ul>                                                                         |  |  |  |
|                                                                                                                                                                                                                                          |  |  |  |
| <b>Information Sharing &amp; Communication</b>                                                                                                                                                                                           |  |  |  |
| <ul style="list-style-type: none"> <li>You have easy access to current fiscal policies and procedures which are clear and understandable</li> </ul>                                                                                      |  |  |  |
| <ul style="list-style-type: none"> <li>You receive regular training regarding changes in fiscal policies and procedures and your responsibilities in regard to maintain fiscal controls</li> </ul>                                       |  |  |  |
| <ul style="list-style-type: none"> <li>You have access to information about requirements contained in all funding agreements supporting your program and receive regular training regarding changes or problem areas</li> </ul>          |  |  |  |
| <ul style="list-style-type: none"> <li>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</li> </ul> |  |  |  |
| <ul style="list-style-type: none"> <li>You provide regular input into the design of training and resource materials to assist staff in understanding and complying with control policies and procedures</li> </ul>                       |  |  |  |
| <b>Monitoring</b>                                                                                                                                                                                                                        |  |  |  |
| <ul style="list-style-type: none"> <li>You systematically review program service data from programs you supervise to ensure that they are complete and accurate</li> </ul>                                                               |  |  |  |
| <ul style="list-style-type: none"> <li>You review monthly financial data for programs you supervise, comparing actual to budget, and identifying potential errors or omissions</li> </ul>                                                |  |  |  |
| <ul style="list-style-type: none"> <li>You fully understand the process to report and resolve program and financial data questions and errors is clear and follow it consistently</li> </ul>                                             |  |  |  |
|                                                                                                                                                                                                                                          |  |  |  |

## Board and Board Committees Controls Checklist

| Board and Board Committees Controls Checklist                                                                                            | Document Reviewed | Reviewer | Date |
|------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------|------|
| <b>1. Board Policies</b>                                                                                                                 |                   |          |      |
| • 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                                                                                              |                   |          |      |
| <b>2. Implementation of Board Policies</b>                                                                                               |                   |          |      |
| • 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                                                                           |                   |          |      |
| <b>3. Full Board Financial Oversight</b>                                                                                                 |                   |          |      |
| • Establish Finance & Audit Committees                                                                                                   |                   |          |      |
| • Review performance of Finance & Audit Committees                                                                                       |                   |          |      |
| • Annual budget approval                                                                                                                 |                   |          |      |
| • Monthly financial statement review                                                                                                     |                   |          |      |
| • Review of annual independent audit                                                                                                     |                   |          |      |
| <b>4. Finance Committee Checklist</b>                                                                                                    |                   |          |      |
| • 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 |                   |          |      |

|                                                                                                                                                                                         |  |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
|                                                                                                                                                                                         |  |  |  |
| <b>5. Check Signer Checklist</b>                                                                                                                                                        |  |  |  |
| <ul style="list-style-type: none"> <li>Review underlying documentation for all checks to verify proper approvals, consistency in payee and amount and overall reasonableness</li> </ul> |  |  |  |
| <ul style="list-style-type: none"> <li>Decline to sign until questions are resolved</li> </ul>                                                                                          |  |  |  |
| <ul style="list-style-type: none"> <li>Report repeated errors to Audit Committee</li> </ul>                                                                                             |  |  |  |
|                                                                                                                                                                                         |  |  |  |
| <b>6. Audit Committee Responsibilities</b>                                                                                                                                              |  |  |  |
| <ul style="list-style-type: none"> <li>Auditor selection</li> </ul>                                                                                                                     |  |  |  |
| <ul style="list-style-type: none"> <li>Establish direct communication with auditor</li> </ul>                                                                                           |  |  |  |
| <ul style="list-style-type: none"> <li>Review of audit findings</li> </ul>                                                                                                              |  |  |  |
| <ul style="list-style-type: none"> <li>Confidential discussion with auditor</li> </ul>                                                                                                  |  |  |  |
| <ul style="list-style-type: none"> <li>Recommendations to Board and management regarding audit findings</li> </ul>                                                                      |  |  |  |
| <ul style="list-style-type: none"> <li>Evaluate performance of Finance Committee</li> </ul>                                                                                             |  |  |  |
|                                                                                                                                                                                         |  |  |  |
| <b>7. Investment Oversight</b>                                                                                                                                                          |  |  |  |
| <ul style="list-style-type: none"> <li>Policy review and update</li> </ul>                                                                                                              |  |  |  |
| <ul style="list-style-type: none"> <li>Selection of investment advisors/managers</li> </ul>                                                                                             |  |  |  |
| <ul style="list-style-type: none"> <li>Review performance of investment managers</li> </ul>                                                                                             |  |  |  |
|                                                                                                                                                                                         |  |  |  |
| <b>8. Board Risk Management Oversight</b>                                                                                                                                               |  |  |  |
| <ul style="list-style-type: none"> <li>Review &amp; revised management's risk assessment</li> </ul>                                                                                     |  |  |  |
| <ul style="list-style-type: none"> <li>Identify risk appetite/tolerance levels</li> </ul>                                                                                               |  |  |  |
| <ul style="list-style-type: none"> <li>Review management's risk mitigation plan</li> </ul>                                                                                              |  |  |  |
| <ul style="list-style-type: none"> <li>Obtain periodic independent review of risk assessment &amp; risk mitigation plan</li> </ul>                                                      |  |  |  |
| <ul style="list-style-type: none"> <li>Review adequacy of insurance coverage</li> </ul>                                                                                                 |  |  |  |
| <ul style="list-style-type: none"> <li>Advice full Board regarding significant risks which have not been adequately mitigated</li> </ul>                                                |  |  |  |
|                                                                                                                                                                                         |  |  |  |
| <b>9. Board Compliance Oversight</b>                                                                                                                                                    |  |  |  |
| <ul style="list-style-type: none"> <li>Identify Board committee responsible for Compliance Oversight and establish committee charge</li> </ul>                                          |  |  |  |
| <ul style="list-style-type: none"> <li>Review compliance findings in independent audit and/or monitoring reports</li> </ul>                                                             |  |  |  |
| <ul style="list-style-type: none"> <li>Monitor progress in resolving findings and improving compliance</li> </ul>                                                                       |  |  |  |
| <ul style="list-style-type: none"> <li>Review management's structure for achieving compliance</li> </ul>                                                                                |  |  |  |
| <ul style="list-style-type: none"> <li>Discuss management's compliance structure with independent auditor</li> </ul>                                                                    |  |  |  |
|                                                                                                                                                                                         |  |  |  |

## Control Review Checklist

| Control                                                                                                     | Control documentation reviewed | Reviewed by | Review date |
|-------------------------------------------------------------------------------------------------------------|--------------------------------|-------------|-------------|
| <b>Control Environment</b>                                                                                  |                                |             |             |
| 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                                                                                                       |                                |             |             |
| <b>General Risk Assessment</b>                                                                              |                                |             |             |
| 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        |                                |             |             |
| <b>Contract Compliance Risk Assessment:</b>                                                                 |                                |             |             |
| 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                                                               |                                |             |             |

|                                                               |  |  |  |
|---------------------------------------------------------------|--|--|--|
|                                                               |  |  |  |
| • Monitoring of actual indirect costs in comparison to budget |  |  |  |

| <b>Control</b>                                                                                                               | <b>Control documentation reviewed</b> | <b>Reviewed by</b> | <b>Review date</b> |
|------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|--------------------|--------------------|
| CFR Requirements                                                                                                             |                                       |                    |                    |
| • Review of CFRs for each funding source                                                                                     |                                       |                    |                    |
| • Policies & procedures to assure compliance with CFR requirements varying from OMB Circulars                                |                                       |                    |                    |
|                                                                                                                              |                                       |                    |                    |
| <b>Control Activities</b>                                                                                                    |                                       |                    |                    |
| 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                                                                 |                                       |                    |                    |
|                                                                                                                              |                                       |                    |                    |
| <b>Information &amp; Communication</b>                                                                                       |                                       |                    |                    |
| 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                 |                                       |                    |                    |
|                                                                                                                              |                                       |                    |                    |
| <b>Monitoring</b>                                                                                                            |                                       |                    |                    |
| 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 |
|---------------------------------------------------------------------------------------------------------|--------------------------------|-------------|-------------|
| <b>Monitoring – continued</b>                                                                           |                                |             |             |
| 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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## **PROGRAMS AND SERVICES**

- Community Needs Assessment
- Programs/Services Directory
- Programs/Services Delivery (See 2018 Annual Corporate Meeting & Luncheon Booklet)
- Agency Five-Year Strategic Plan

# 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 8<sup>th</sup> 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%          |

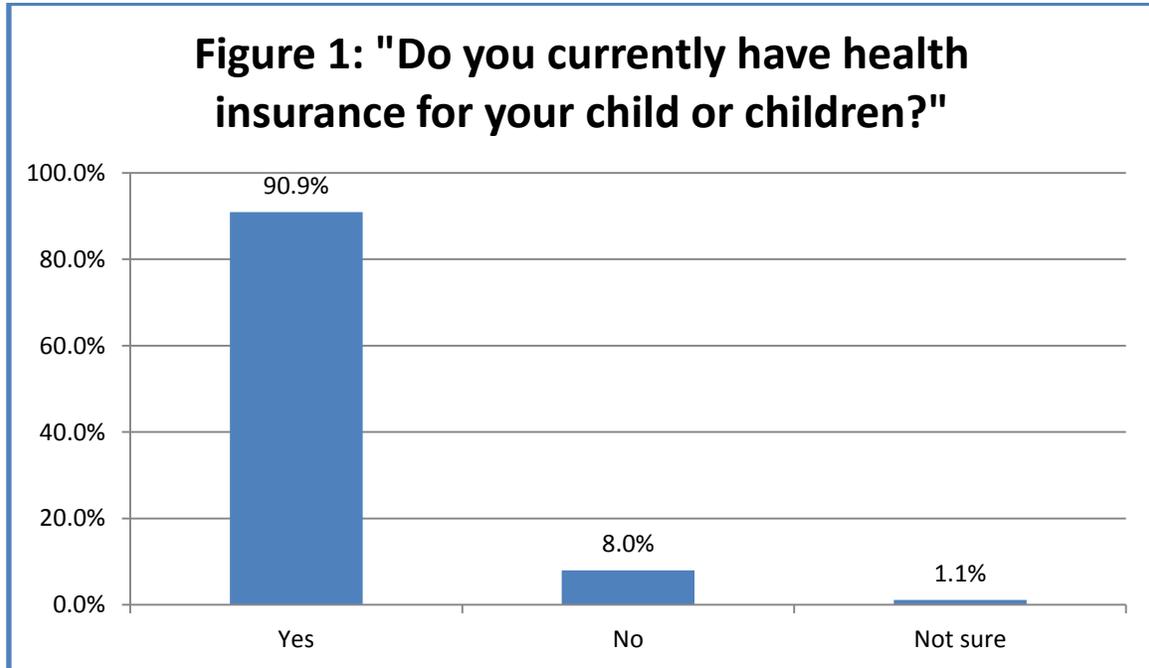
There is a very high level of satisfaction with services for children under the age of five. More than four in five respondents who used these services for their children were either “Very Satisfied” or “Somewhat Satisfied” with them.

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.



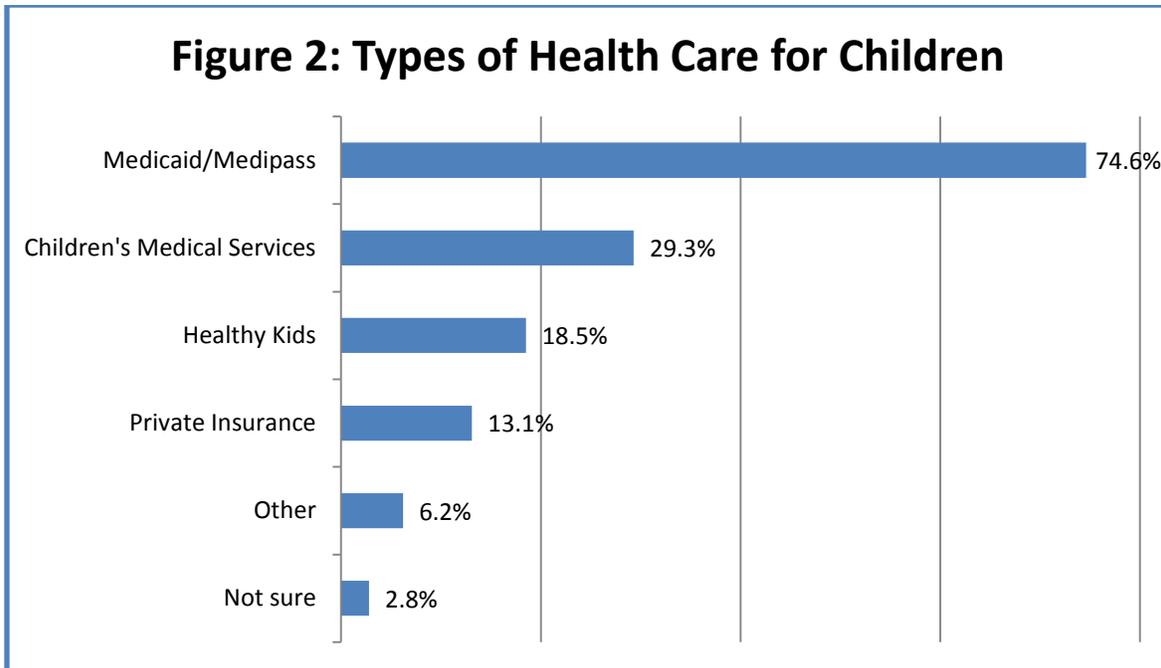
About nine in ten (90.9%) respondents currently have health care insurance for their children. Fewer than one in ten (8.0%) respondents do not currently have health care insurance for their children.

### 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.

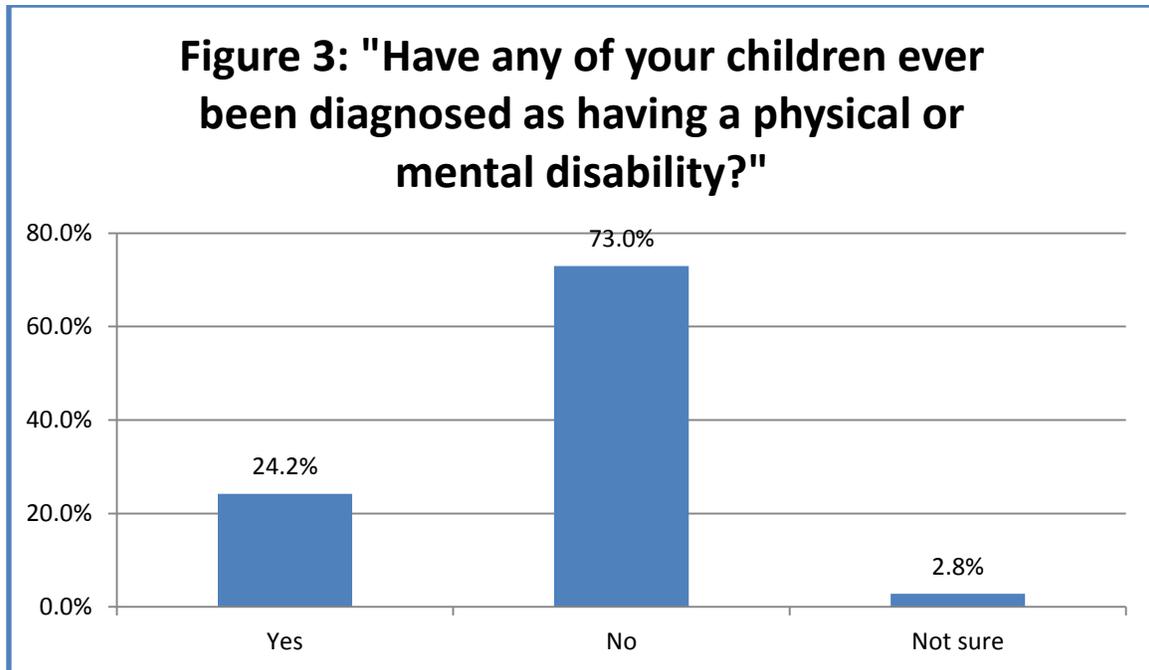


Three in four (74.6%) respondents whose children currently have health insurance indicated that they had health insurance for their children from Medicaid/Medipass. Three in ten (29.3%) of these respondents use “Children’s Medical Services” as a source of health insurance for their children. About one 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

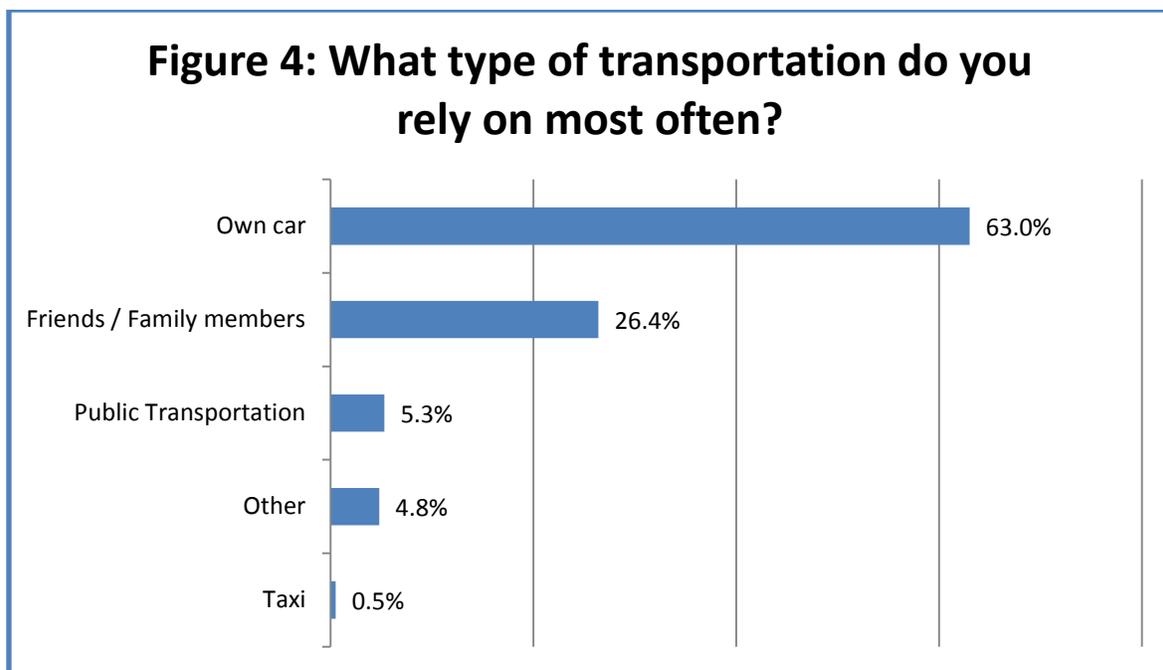
The last series of questions in the survey asked respondents to provide information on the background of their households. The questions in this section sought to obtain information on the types of transportation the respondents rely on most often, the types of housing they live in, the structure of 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.



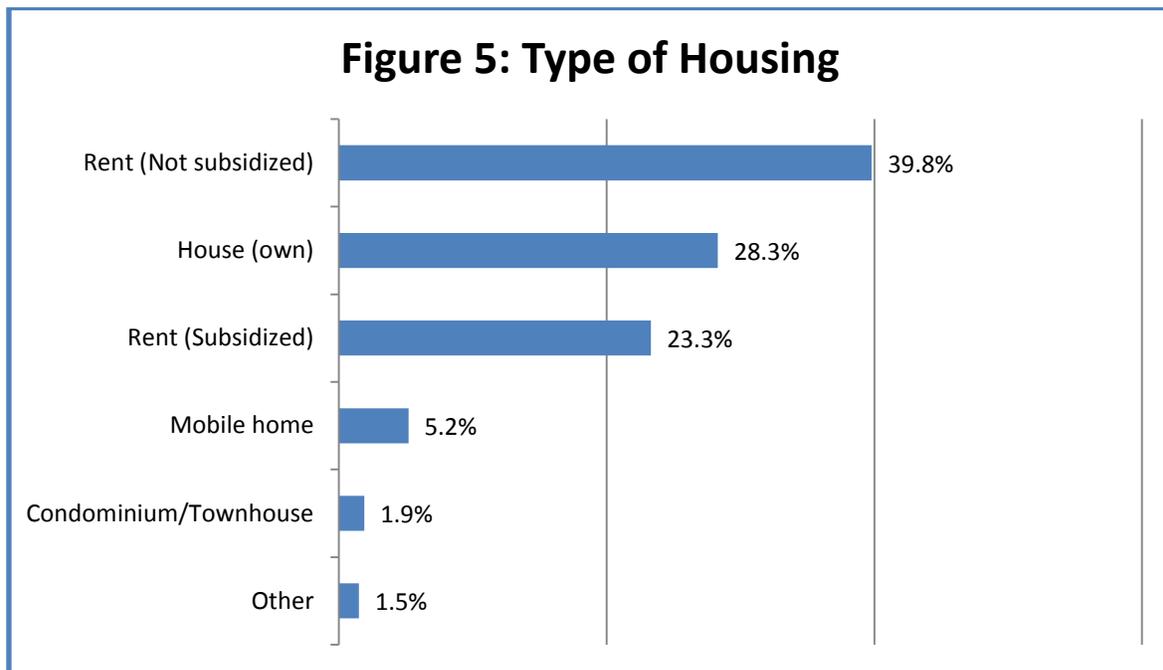
More than three in five (63.0%) respondents said they most often rely on their "Own car" for transportation, while about one in four (26.4%) said they rely on "Friends or Family members." Fewer than one in ten (5.3%) respondents indicated they most often rely on "Public Transportation." In addition, 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%).

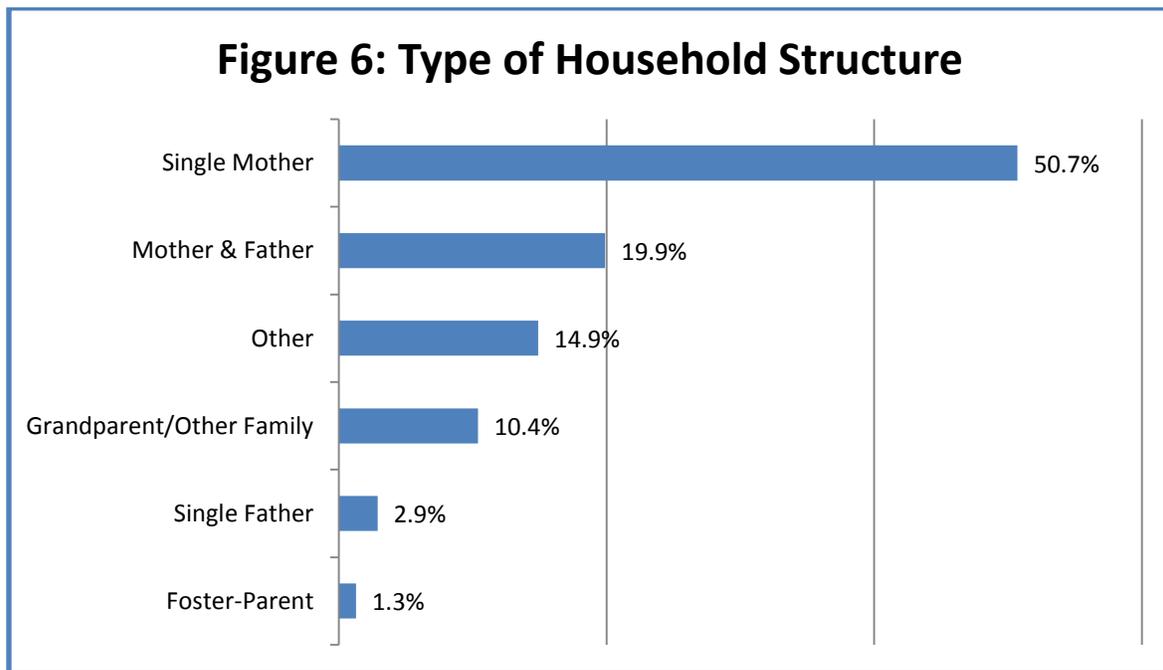
In addition, one respondent reported being homeless and one reported living with a relative.

## 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.

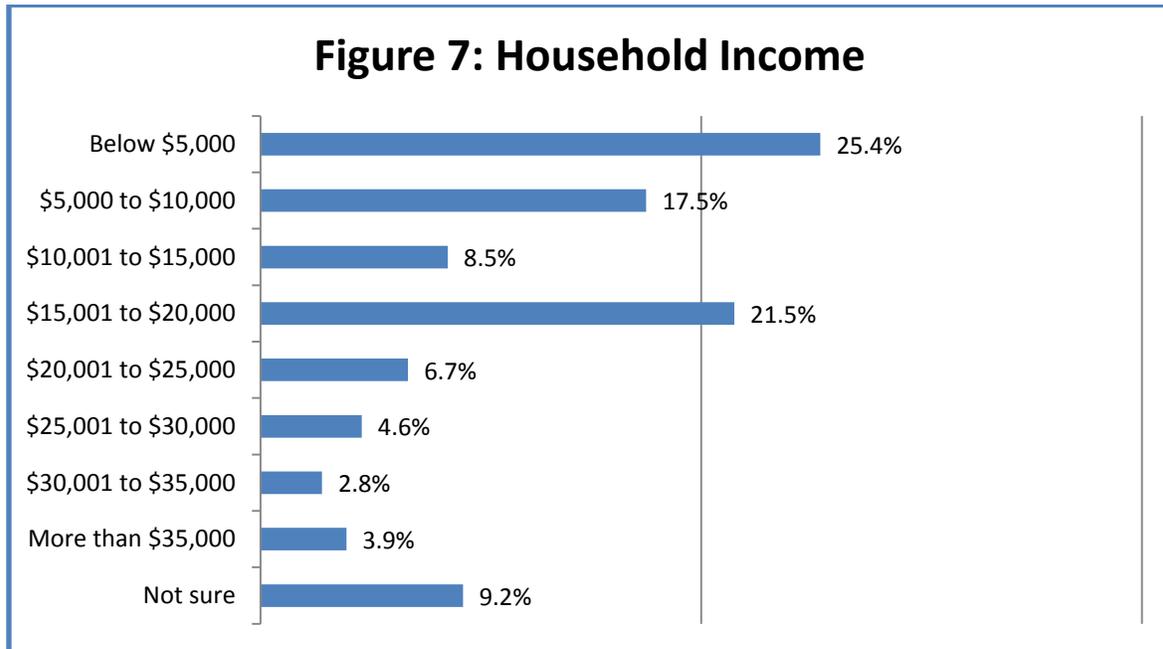
### “Other” Types of Households

| 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.

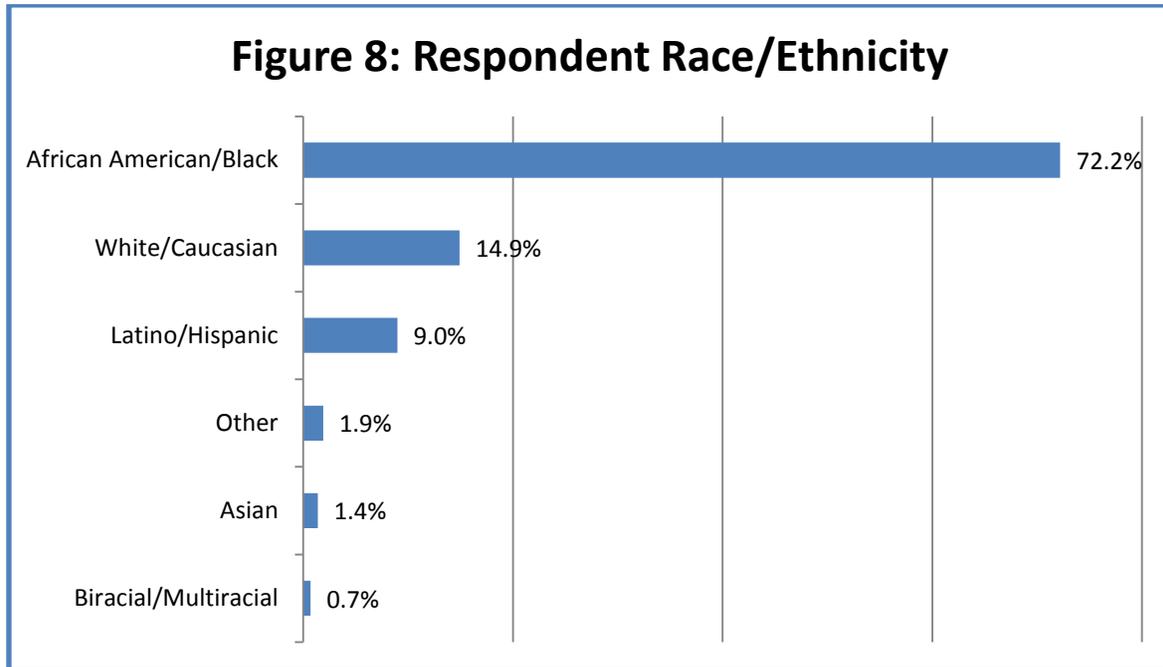


One in four (25.4%) respondents reported a total household income before taxes below \$5,000. About one in six (17.5%) respondents reported a household income between \$5,000 and \$10,000, and about one in ten (8.5%) cited a household income between \$10,001 and \$15,000. About one in five (21.5%) respondents 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%).

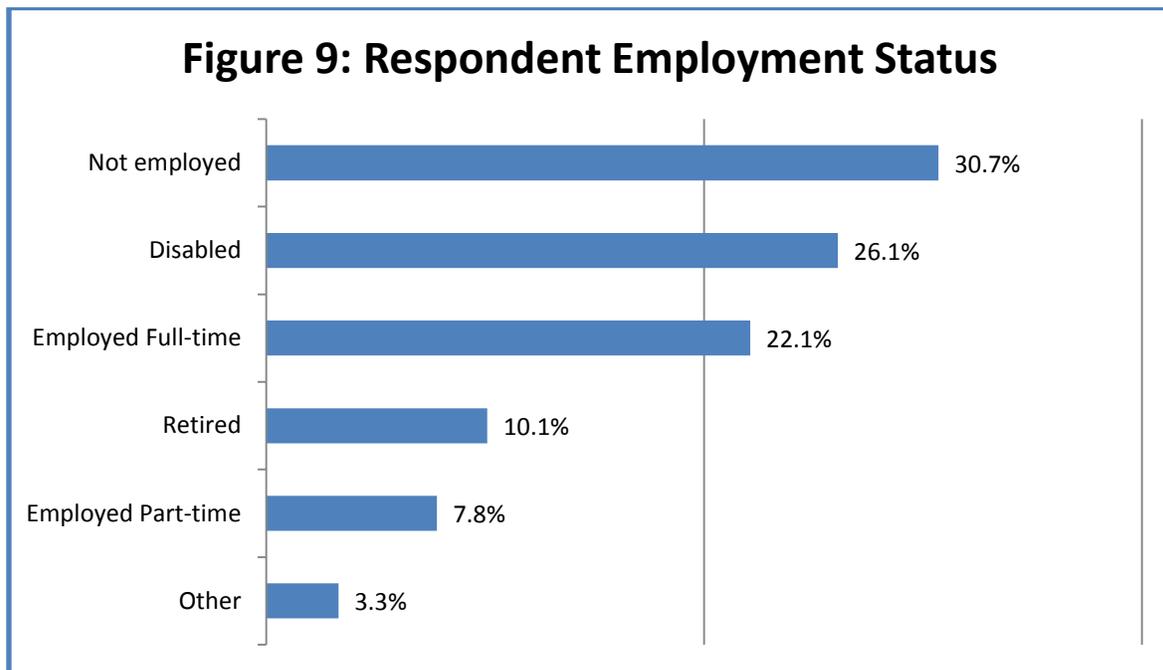
In addition, five respondents listed an “Other” racial/ethnic group: “Haitian” (n=2); “West Indian” (n=1); “Jamaican” (n=1); and, “American Indian/African” (n=1).

## 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.”

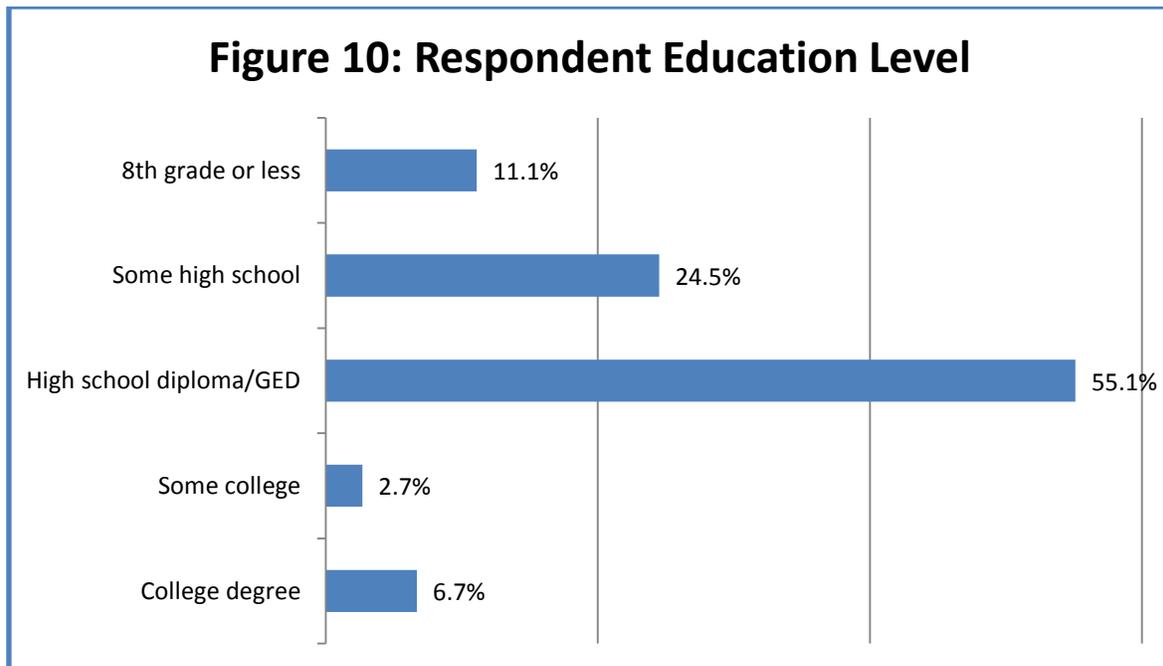
In addition, three respondents indicated “Other situations”: “Self-Employed,” “Social Security,” “Donor of Plasma.”

## 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:

- 8<sup>th</sup> 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 8<sup>th</sup> 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.

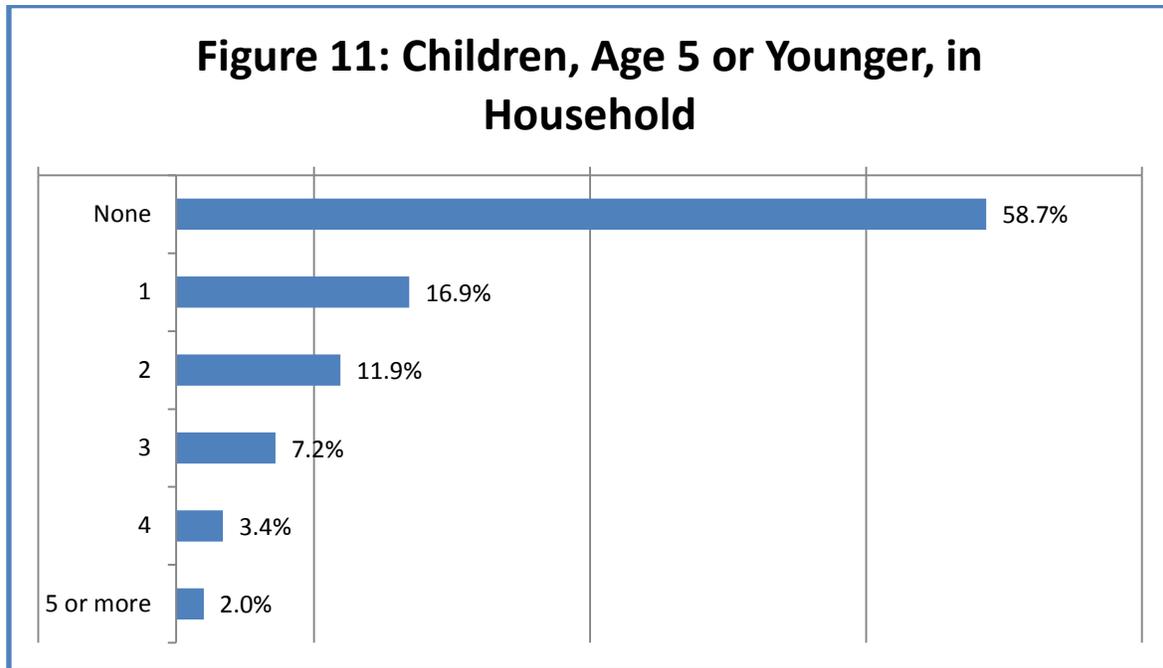
Table 11: Total Number of People in Household

| 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.

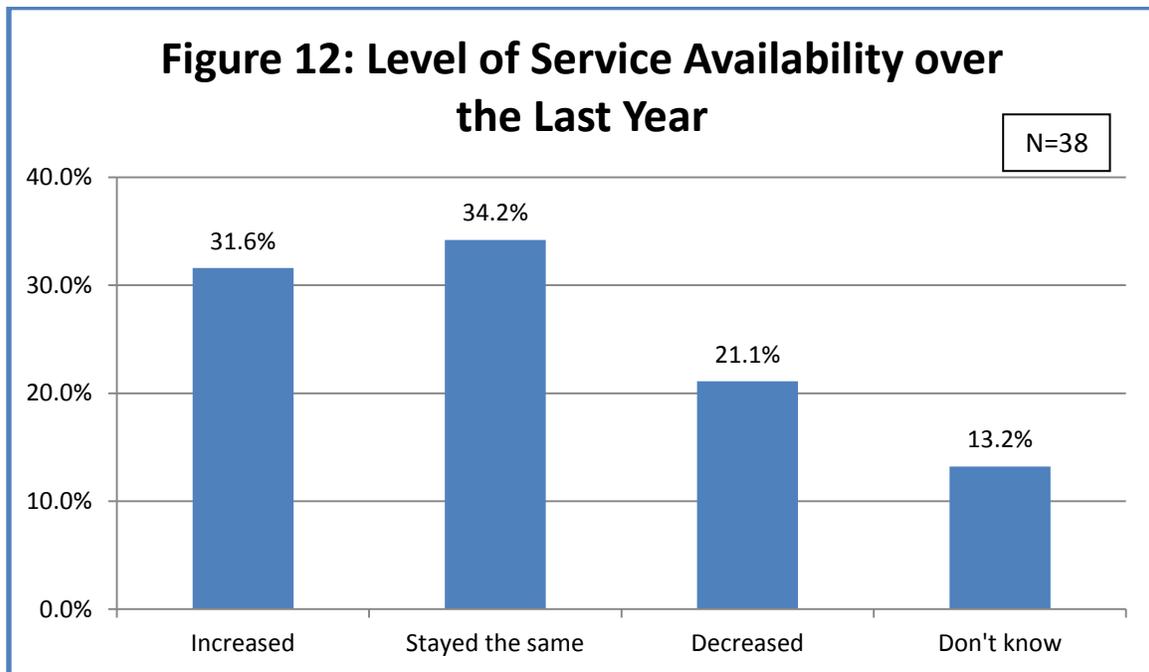
About one in three (31.6%) respondents noted “Language barriers” as one of the primary barriers to low-income families receiving assistance. About one in five responding agencies indicated that “Conflicting rules/requirements among providers” (18.4%) or “Lack of accessibility to services for the disabled” (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

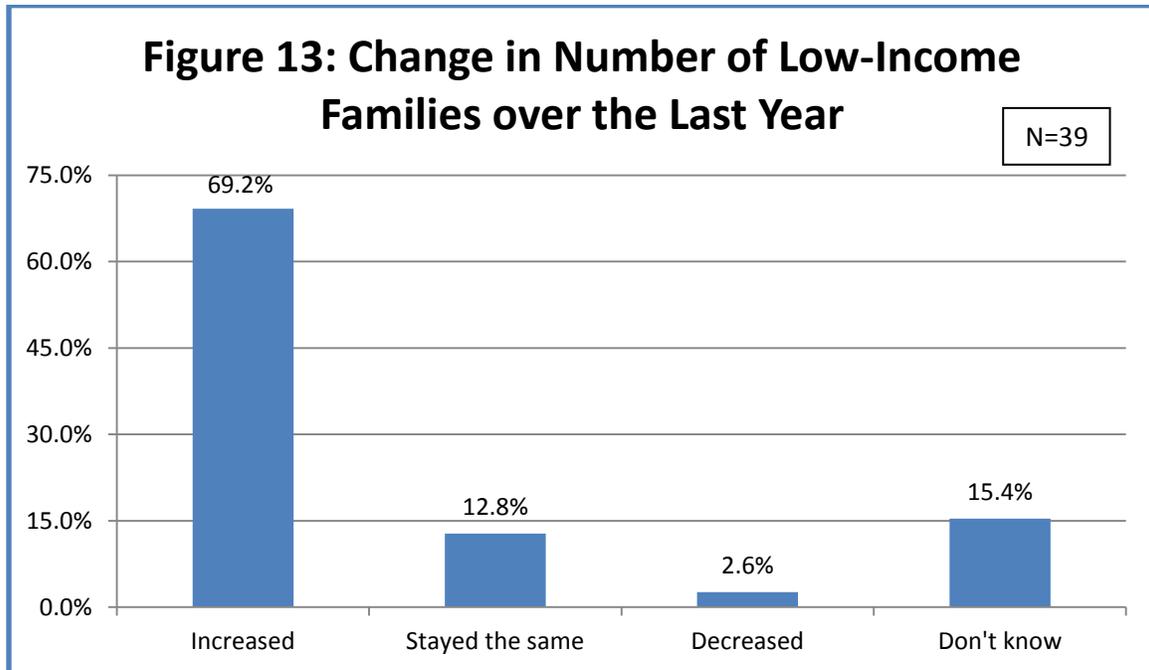
The next question asked organizations: “Do you think service availability for low-income families in our community has increased, stayed the same, or decreased over the last year?” The results are presented in Figure 12.



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.

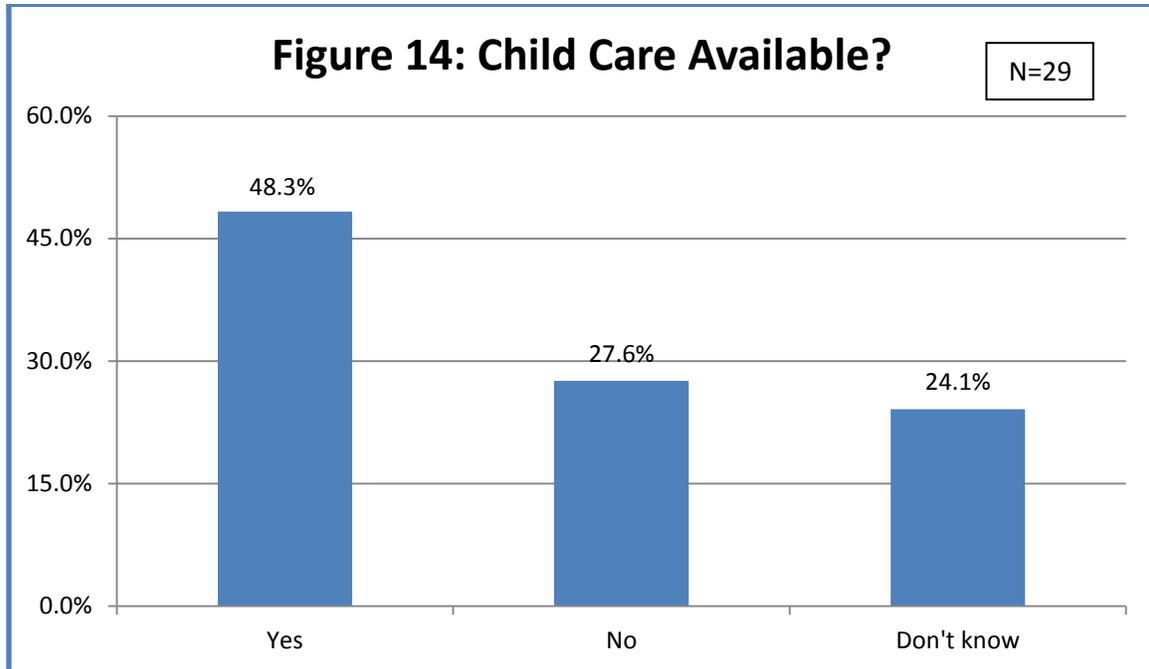
| Response                                   | Frequency |
|--------------------------------------------|-----------|
| Unemployment / Job loss / Job availability | 14        |
| The economy                                | 7         |
| More families moving into area             | 3         |
| High 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

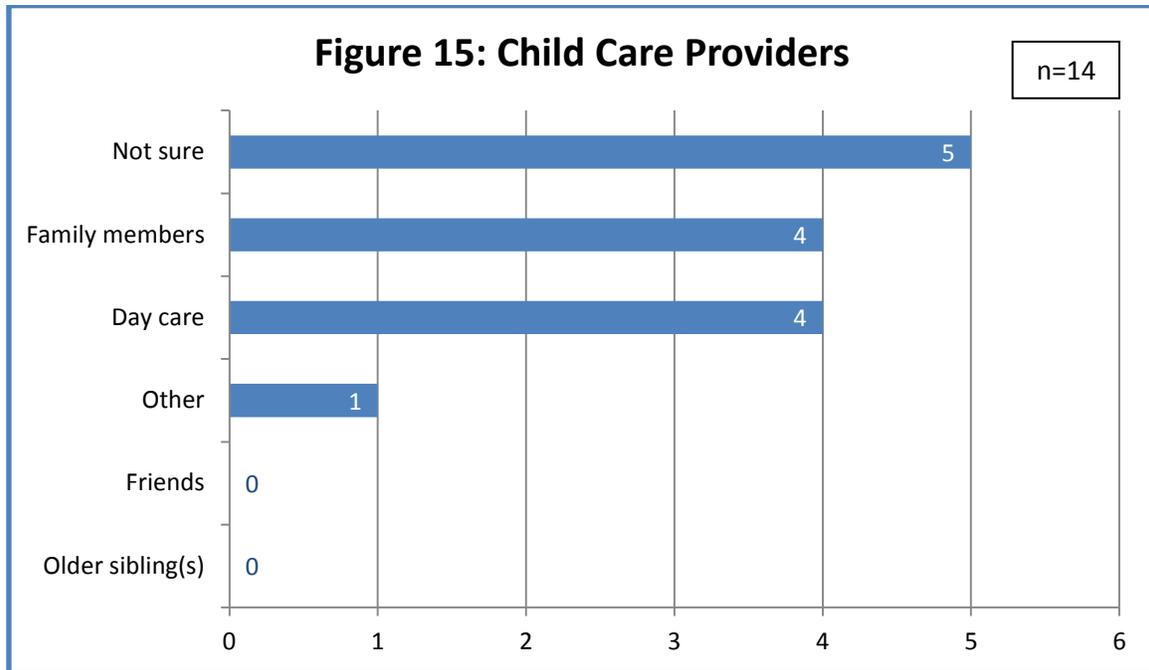
The first question in this section asked those organizations that serve low-income families whether those families are able to obtain the child care services they need. The results from the 29 organizations that serve low-income families are presented in Figure 14.



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.

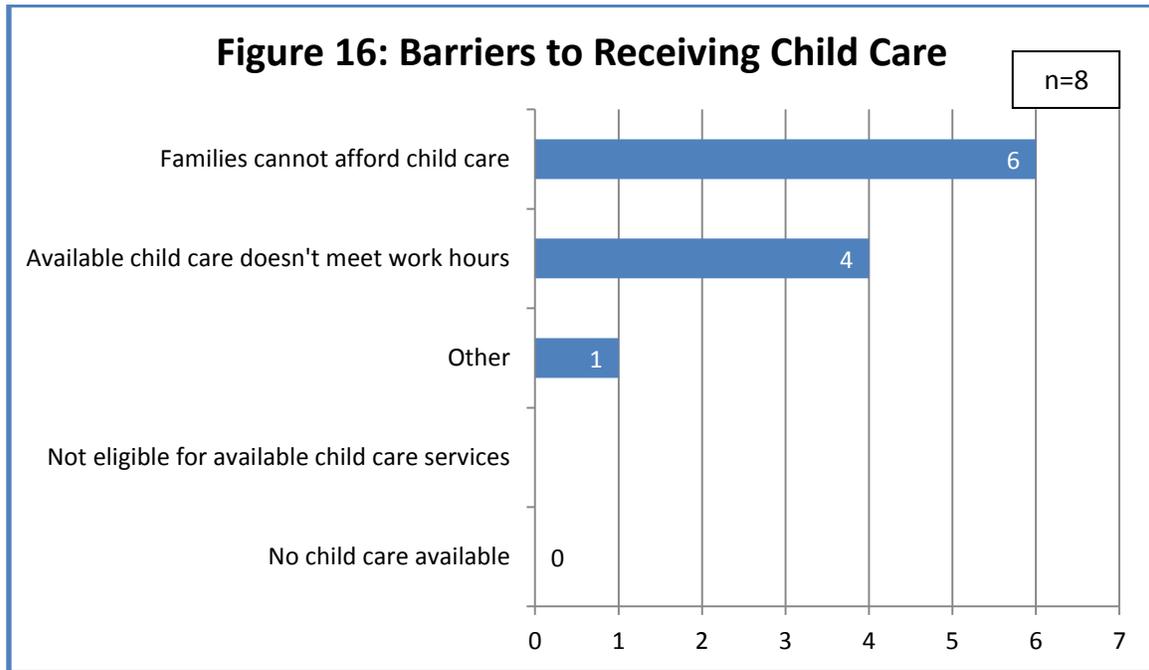


Most of the respondents (n=5) that indicated that at least some of the low-income families they serve are able to obtain child care services did not know who provides this childcare. Four of these respondents said that those families most often receive child care from “Family members,” and four low-income 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 6<sup>th</sup> 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 3<sup>rd</sup> 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 9<sup>th</sup> 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

863-956-0349

863-956-3491

863-956-3764

863-956-3492

863-956-1348

863-956-4478

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

**VACANT - Div. Deputy Director** Ext. 215

VACANT 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

Baker, Katrina Ext. 219

Jardinez, Donna Ext. 221

Diaz, Yartiza Ext. 222

Creech, Michelle Ext. 223

Taylor, Grenea (FVCDC) 863-299-3173

Ramirez, Jose (FVCDC) 863-299-2995

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

Harris, Sophia (Family Fundamentals) 863-686-1221 Ext. 244

Louis, Ebony (Avon Park) 863-657-2104

Astorga, Patricia (LaBelle) 863-946-0298

#### Project Achieve

##### Deland - Volusia County Office

**Gaytan, Robert**

**Sanchez, Claudia**

386-624-6912

386-624-6917 (FAX)



## Eastern Administrative Office Phone Directory

|                                                                                                                                                                                                                                                    |           |                                                                                                                                                                                                              |                                                                                                                                                            |                      |                                                                                                                                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| Betsy Aguilar                                                                                                                                                                                                                                      | <b>10</b> | Myrna Rodriguez                                                                                                                                                                                              | <b>11</b>                                                                                                                                                  | Eva Sohl             | <b>13</b>                                                                                                                                            |
| Diana G. Contreras                                                                                                                                                                                                                                 | <b>14</b> | Elizabeth Young                                                                                                                                                                                              | <b>15</b>                                                                                                                                                  | Alisa Thornton       | <b>16</b>                                                                                                                                            |
| ECEC                                                                                                                                                                                                                                               | <b>17</b> | Deloris Johnson                                                                                                                                                                                              | <b>18</b>                                                                                                                                                  | Germain Louis        | <b>19</b>                                                                                                                                            |
| Anna Holmes                                                                                                                                                                                                                                        | <b>20</b> | Donita Brunson                                                                                                                                                                                               | <b>21</b>                                                                                                                                                  | Iris Rivera          | <b>22</b>                                                                                                                                            |
| Jewel Whitehead                                                                                                                                                                                                                                    | <b>25</b> | Lisandra Concepcion                                                                                                                                                                                          | <b>27</b>                                                                                                                                                  | William Hopkins      | <b>28</b>                                                                                                                                            |
| Ana Cendejas                                                                                                                                                                                                                                       | <b>30</b> | CAT Program/Media Center                                                                                                                                                                                     | <b>32</b>                                                                                                                                                  | Conference Room B    | <b>34/35</b>                                                                                                                                         |
| Latonya Robinson                                                                                                                                                                                                                                   | <b>36</b> | Conference Room C                                                                                                                                                                                            | <b>38</b>                                                                                                                                                  | Auditorium/Cafeteria | <b>29</b>                                                                                                                                            |
| <b>ALPI Administrative Office</b><br><b>Head Start/Early Head Start</b><br><i>Myrna Rodriguez, POD</i><br>2202 Avenue Q, Fort Pierce, FL 34950<br><b>(772) 466-2631 Toll Free (800) 791-3099</b><br>Fax Front (772) 466-3886 / Back (772) 464-3035 |           |                                                                                                                                                                                                              | <b>ALPI Central Office</b><br>300 Lynchburg Road<br>Lake Alfred, FL 33850<br><b>(863) 956-3491</b><br><b>Toll Free (800) 330-3491</b><br>Fax (863)956-3357 |                      | <b>ALPI Frostproof CDC</b><br><i>Aletta Stroder, POD</i><br>701 Hopson Road<br>Frostproof, FL 33843<br><b>(863) 635-3396</b><br>Fax (863)635-0185    |
| <b>ALPI Computer Assisted Tutorial Program</b><br><i>Anna Holmes, Program Coordinator</i><br>2202 Avenue Q, Fort Pierce, FL 34950<br><b>(772) 466-2631</b><br>Fax (772)466-3886                                                                    |           | <b>Loving Care CDC</b><br><i>Mary Logsdon, Owner</i><br>1207 S. 28 <sup>th</sup> Street<br>Fort Pierce, FL 34947<br><b>(772) 464-1518</b><br>Fax (772)465-0651                                               | <b>Learning Tree Academy</b><br><i>Elsie Salter, Owner</i><br>2808 Avenue D<br>Fort Pierce, FL 34947<br><b>(772) 464-2988</b><br>Fax (772)464-0155         |                      | <b>Jumpstart Dev. Center</b><br><i>Kiuwana Shipman</i><br>1068 Pine Avenue<br>Lake Wales, FL 33853<br><b>(863) 679-3250</b><br>Fax (863)679-3253     |
| <b>ALPI Child Development and Family Services Center</b><br>198 N.W. Marion Avenue<br>Port St. Lucie, FL 34983                                                                                                                                     |           | <b>CDSM - Crystal Dames</b><br><b>CDSC - Charline Celestin</b><br>AA - Lacey Bissell<br>FSW - Juanita Deloera<br>FSW - Amy Nunez<br>FSW - Audrey Brown                                                       |                                                                                                                                                            |                      | <b>772-879-4944</b><br>772-879-4272<br>772-879-4377<br><b>772-879-4966 Fax</b><br><br><b>772-343-7915</b><br>772-343-7916<br><b>772-343-7918 Fax</b> |
| <b>ALPI Francina Duval Head Start Center</b><br>1035 South 27 <sup>th</sup> Circle<br>Fort Pierce, FL 34950                                                                                                                                        |           | <b>CDSM - Mary Brunson</b><br>AA - Jennifer Cordova<br>FSW - Margie Houston                                                                                                                                  |                                                                                                                                                            |                      | <b>772-461-0398</b><br>772-461-0891<br><b>772-461-1024 Fax</b>                                                                                       |
| <b>ALPI Garden Terrace Head Start Center</b><br>1110 North 32 <sup>nd</sup> Street<br>Fort Pierce, FL 34950                                                                                                                                        |           | <b>CDSM - Sandra Monroe</b><br>AA - Ernesia Frazier<br>FSW - Jennifer Hall<br>FSW - Cynthia Thomas                                                                                                           |                                                                                                                                                            |                      | <b>772-468-0300</b><br>772-468-0210<br><b>772-468-3737 Fax</b>                                                                                       |
| <b>ALPI George W. Truitt Family Services Center</b><br>1814 North 13 <sup>th</sup> Street<br>Fort Pierce, FL 34950                                                                                                                                 |           | <b>CDSM - Donna Hammond</b><br>AA - Nathalie Isles<br>FSW - Kelcey Williams<br>FSW - Miriam Crumbley Warren                                                                                                  |                                                                                                                                                            |                      | <b>772-464-4452</b><br>772-465-3121<br><b>772-465-1045 Fax</b>                                                                                       |
| <b>ALPI Lincoln Park Head Start Center</b><br>1400 Avenue M<br>Fort Pierce, FL 34950                                                                                                                                                               |           | <b>CDSM - Glenda Johnson</b><br>AA - Edelia Rodriguez<br>FSW - Karen Foxx<br>FSW - Mario Camacho                                                                                                             |                                                                                                                                                            |                      | <b>772-464-6061</b><br>772-464-7396<br><b>772-464-5349 Fax</b>                                                                                       |
| <b>ALPI Queen Townsend Head Start Center II</b><br>2202 Avenue Q<br>Fort Pierce, FL 34950                                                                                                                                                          |           | <b>CDSM - Ellen Bradley</b><br><b>CDSC - Elnora Hall</b><br><b>CDSC - Carol Smith</b><br>AA - Sharee McBride-Coke<br>FSW - Ana Wilson<br>FSW - Cindy Thomas<br>FSW - Yolanda Cunningham<br>FSW - Karla Toole |                                                                                                                                                            |                      | <b>772-429-8889</b><br>772-429-2446<br><br><b>772-464-7354</b><br>772-468-0904<br><b>772-464-1341 Fax</b>                                            |



# *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 2018 Annual Corporate Meeting & Luncheon Booklet)
- Advisory Council Fundraising Activities/Scholarships (sample)
- Employee Contributions
- Audited Financials
- IRS Form 990
- Funding Sources
- Operating Budget
- **Banking Institutions**

Internal Revenue Service

Date: October 5, 2006

THE AGRICULTURAL AND LABOR  
PROGRAM INCORPORATED  
PO BOX 3126  
WINTER HAVEN FL 33885-3126 263

Department of the Treasury  
P. O. Box 2508  
Cincinnati, OH 45201

Person to Contact:  
Richard E. Owens 31-07974  
Customer Service Representative  
Toll Free Telephone Number:  
877-829-5500  
Federal Identification Number:  
59-1634148

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

0000112 08/16/16



## 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 |
| Certificate Number | Effective Date | Expiration Date | Exemption Category     |

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, 2018, that its most recent annual report/uniform business report was filed on January 16, 2018, 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 Sixteenth day of January, 2018*



*Ken DeFina*  
*Secretary of State*

Tracking Number: CC7194764150

To authenticate this certificate, visit the following site, enter this number, and then follow the instructions displayed.

<https://services.sunbiz.org/Filings/CertificateOfStatus/CertificateAuthentication>

1-800-HELP-FLA (435-7352)  
www.800helpfla.com  
www.freshfromflorida.com



DIVISION OF CONSUMER SERVICES  
2005 APALACHEE PKWY  
TALLAHASSEE FL 32399-6500

**FLORIDA DEPARTMENT OF AGRICULTURE & CONSUMER SERVICES**  
**COMMISSIONER ADAM H. PUTNAM**

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March 31, 2017

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, 2018

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,

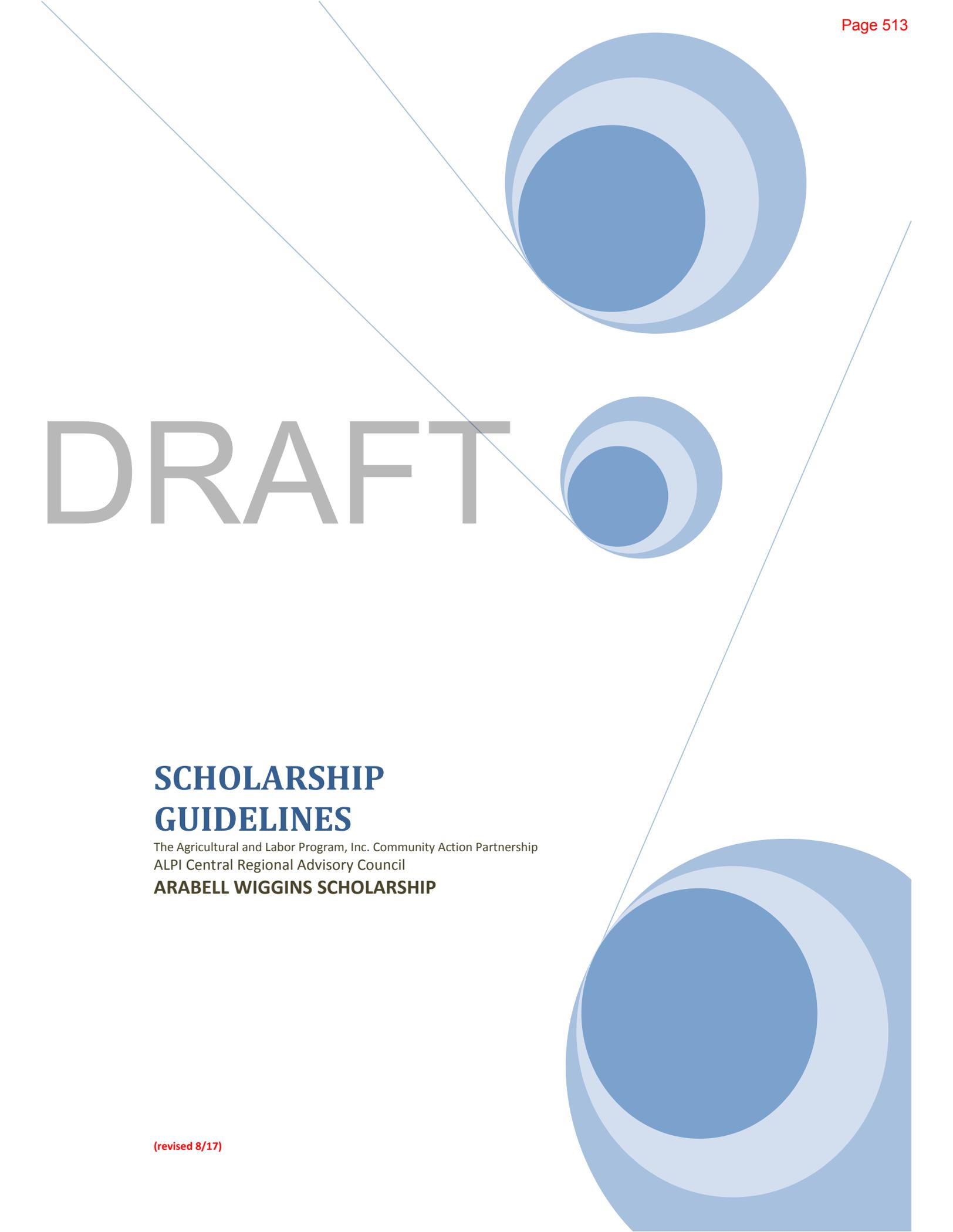
*Kennedy "Mac" Smith*

Kennedy "Mac" Smith  
Regulatory Consultant

850-410-3721

Fax: 850-410-3804

E-mail: [kennedy.smith@freshfromflorida.com](mailto:kennedy.smith@freshfromflorida.com)

The page features several decorative elements: a large blue circle with a white ring and a smaller blue circle inside, located in the upper right; a smaller version of this same design below it; and a large blue circle with a white ring and a smaller blue circle inside, partially cut off by the bottom edge of the page. Two thin blue lines cross the page diagonally from the top left towards the bottom right.

DRAFT

## **SCHOLARSHIP GUIDELINES**

The Agricultural and Labor Program, Inc. Community Action Partnership  
ALPI Central Regional Advisory Council

**ARABELL WIGGINS SCHOLARSHIP**

(revised 8/17)

# Scholarship Program Overview

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## 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 **in order listed** the following items:

- Completed application form (if handwritten, must be legible).
- **Written** 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 (**must be signed**).
- 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 201\_\_ deadline date to submit the application is \_\_\_\_\_. Applications postmark after this date will not be considered. Please mail or deliver application in person to:

**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:

- **Written** Letter of Application addressed to the Scholarship Committee.

- Three (3) letters of recommendations (**signed**) 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                   | 20 points         |
| 4. Financial need                          | 25 points         |
| 5. Personal Goal Statement                 | 10 points         |
| 6. Community Service                       | 10 points         |
| <b>Total Points</b>                        | <b>100 points</b> |

## 9. Notification of Scholarship Award

The applicant selected will be notified by mail within 60 days from the application deadline date.

The Agricultural and Labor Program, Inc.  
Central Region Advisory Council

### Arabell Wiggins Scholarship Application

(Revised 8/17)

PLEASE SUBMIT THE ITEMS **IN THE ORDER** LISTED BELOW WITH YOUR **COMPLETED** APPLICATION

1. **Written** Letter of Application addressed to the Scholarship Committee.
2. Three (3) letters of recommendations (**must be signed**).
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.

DRAFT

Note: **Failure to meet any of the above requirements 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.*

\_\_\_\_\_  
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.*

The Agricultural and Labor Program, Inc.  
Central Region Advisory Council

## Arabell Wiggins Scholarship Application

(Revised 8/17)

Please type or print **legibly** all applicable information and return completed application and all requested information (in order) 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:

### STUDENT INFORMATION

Name:

Last

First

Middle

Mailing Address:

City, Zip Code

Telephone:

Date of Birth:

High School Attended:

School Phone:

Guidance Counselor Signature:

SAT Score:

ACT Score:

Weighted GPA:

Unweighted GPA:

College you plan to attend:

Major:

### 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.*

The Agricultural and Labor Program, Inc.  
Central Region Advisory Council

**Arabell Wiggins Scholarship Application**

(Revised 8/17)

Activities (Make certain to indicate any leadership positions held and dates of service)

School (extra-curricular activities):

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Academic Awards, Special Recognitions or Honors:

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DRAFT

Community Awards/Service (Please include place and hours of volunteer service):

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Work Experience (Please include hours worked per week and length of employment):

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Special Interest or Hobbies:

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Other Scholarships already received:

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*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 18, 2017

**SUBJECT:** ALPI 2018 Annual Meeting Luncheon and Annual Employee Training Conference

This year we will be celebrating **50** years of “*Providing A Constant Flow of Community Services*” to our children and families. This event will be celebrated via a luncheon meeting on Saturday, January 27, 2018. For your consideration, I would like to request a one-time voluntary 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 (see attached commitment form).

The Annual Employee Training Conference will be held on Friday & Saturday, January 26 & 27, 2018 at the Rosen Centre Hotel in Orlando. For all regular full-time employees, your attendance will be required on Friday & Saturday. The Rosen Centre will be your work location for these two days with the agency covering the cost for shared overnight accommodation and transportation. Additional information will be forthcoming via your Director/Supervisor.

I am requesting the attached commitment form be completed and returned by **ALL** full-time employees no later than Friday, **November 3, 2017**.

As always, thank you in advance for your continued voluntary 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 26-27, 2018

\_\_\_\_\_ I acknowledge receipt of the 2018 Annual Meeting & Staff Training Conference Memo

**AND**

**PLEASE CHECK (v) ONE OF THE FOLLOWING RESPONSES:**

I would like to make the following voluntary 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 5, 2018**

\_\_\_\_\_ Other – Please address comments/concerns to the attention of Deloris Johnson, CEO

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Printed Name \_\_\_\_\_

Date \_\_\_\_\_

Note: It is your responsibility to ensure that this completed **FORM** is returned by the deadline date of **November 3, 2017**. 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, 2017

## Contents

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**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 statements 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 report dated November 20, 2017, 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 that report 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 the effectiveness of The Agricultural and Labor Program, Incorporated's internal control over financial reporting or on compliance. That 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 over financial reporting and compliance.

RSM US LLP

Orlando, Florida  
November 20, 2017

The Agricultural and Labor Program, Incorporated

Statements of Financial Position  
June 30, 2017 and 2016

|                                               | 2017                | 2016         |
|-----------------------------------------------|---------------------|--------------|
| <b>Assets</b>                                 |                     |              |
| Current assets:                               |                     |              |
| Cash                                          | \$ 1,217,969        | \$ 1,239,065 |
| Accounts receivable                           | 815,296             | 430,310      |
| Prepaid expenses                              | 33,245              | 13,266       |
| Asset held for sale                           | 37,480              | 34,146       |
| <b>Total current assets</b>                   | <b>2,103,990</b>    | 1,716,787    |
| Property and equipment, net                   | 778,398             | 1,041,902    |
| Refundable deposits                           | 10,448              | 10,448       |
| <b>Total assets</b>                           | <b>\$ 2,892,836</b> | \$ 2,769,137 |
| <b>Liabilities and Net Assets</b>             |                     |              |
| Current liabilities:                          |                     |              |
| Accounts payable                              | \$ 521,409          | \$ 447,254   |
| Accrued expenses                              | 497,525             | 459,808      |
| Refundable advances                           | 53,163              | 46,613       |
| <b>Total current liabilities</b>              | <b>1,072,097</b>    | 953,675      |
| Commitments and contingencies (Notes 6 and 9) |                     |              |
| Unrestricted net assets                       | 1,820,739           | 1,815,462    |
| <b>Total liabilities and net assets</b>       | <b>\$ 2,892,836</b> | \$ 2,769,137 |

See notes to financial statements.

**The Agricultural and Labor Program, Incorporated**

**Statements of Activities  
Years Ended June 30, 2017 and 2016**

|                                                   | 2017                | 2016                |
|---------------------------------------------------|---------------------|---------------------|
| Support and revenue:                              |                     |                     |
| U.S. Department of Health and Human Services      | \$ 7,414,082        | \$ 7,284,907        |
| Early Learning Coalitions:                        |                     |                     |
| Voluntary Prekindergarten Education Program (VPK) | 830,696             | 923,574             |
| Childcare                                         | 70,943              | 12,175              |
| State of Florida, Departments of:                 |                     |                     |
| Economic Opportunity                              | 5,050,419           | 5,581,235           |
| Education and Health                              | 773,561             | 757,585             |
| In-kind contributions                             | 1,105,123           | 1,289,522           |
| Other support and revenue                         | 501,203             | 421,597             |
| <b>Total support and revenue</b>                  | <b>15,746,027</b>   | <b>16,270,595</b>   |
| Expenses:                                         |                     |                     |
| Program services:                                 |                     |                     |
| Head Start                                        | 8,002,329           | 8,023,797           |
| Child development                                 | 841,789             | 878,951             |
| Energy                                            | 3,838,749           | 4,364,761           |
| Food                                              | 654,614             | 683,805             |
| Social services                                   | 1,322,197           | 1,301,962           |
| Employment and training                           | 5,355               | 7,310               |
| <b>Total program services</b>                     | <b>14,665,033</b>   | <b>15,260,586</b>   |
| Supporting services:                              |                     |                     |
| Management and general                            | 1,075,717           | 1,112,836           |
| <b>Total expenses</b>                             | <b>15,740,750</b>   | <b>16,373,422</b>   |
| <b>Increase (decrease) in net assets</b>          | <b>5,277</b>        | <b>(102,827)</b>    |
| Net assets:                                       |                     |                     |
| Beginning                                         | 1,815,462           | 1,918,289           |
| Ending                                            | <b>\$ 1,820,739</b> | <b>\$ 1,815,462</b> |

See notes to financial statements.

## The Agricultural and Labor Program, Incorporated

Statements of Functional Expenses  
Years Ended June 30, 2017 and 2016

|                                            | 2017                |                   |                     |                   |                     |                         |                        |                        |                      |
|--------------------------------------------|---------------------|-------------------|---------------------|-------------------|---------------------|-------------------------|------------------------|------------------------|----------------------|
|                                            | Program Services    |                   |                     |                   |                     |                         |                        | Supporting Services    |                      |
|                                            | Head Start          | Child Development | Energy              | Food              | Social Services     | Employment and Training | Total Program Services | Management and General | Total Expenses       |
| Salaries                                   | \$ 3,878,923        | \$ 596,750        | \$ 502,587          | \$ 180,186        | \$ 442,210          | \$ -                    | \$ 5,600,656           | \$ 619,004             | \$ 6,219,660         |
| Fringe benefits                            | 1,024,033           | 155,521           | 133,167             | 47,829            | 110,161             | -                       | 1,470,711              | 164,629                | 1,635,340            |
| <b>Total salaries and related expenses</b> | <b>4,902,956</b>    | <b>752,271</b>    | <b>635,754</b>      | <b>228,015</b>    | <b>552,371</b>      | <b>-</b>                | <b>7,071,367</b>       | <b>783,633</b>         | <b>7,855,000</b>     |
| Grants, subsidies and contributions        | 1,988               | 309               | 3,033,699           | -                 | 315,330             | 4,613                   | 3,355,939              | 49,714                 | 3,405,653            |
| In-kind expenses                           | 1,105,123           | -                 | -                   | -                 | -                   | -                       | 1,105,123              | -                      | 1,105,123            |
| Contractual services                       | 306,621             | 18,410            | 18,094              | 17,125            | 51,367              | -                       | 411,617                | 40,927                 | 452,544              |
| Rent and utilities                         | 235,836             | 6,657             | 36,771              | 70,035            | 23,246              | -                       | 372,545                | 25,134                 | 397,679              |
| Subcontractors                             | 314,365             | -                 | 24,030              | -                 | 93,471              | -                       | 431,866                | -                      | 431,866              |
| Materials and supplies                     | 305,302             | 23,721            | 18,287              | 26,353            | 67,827              | -                       | 441,490                | 30,090                 | 471,580              |
| Other                                      | 185,818             | 10,227            | 3,214               | 13,199            | 78,740              | 360                     | 291,558                | 63,520                 | 355,078              |
| Food                                       | 147,389             | 12,983            | -                   | 237,567           | -                   | -                       | 397,939                | 46                     | 397,985              |
| Communications                             | 198,907             | 5,612             | 42,038              | 55,063            | 107,428             | 56                      | 409,104                | 21,249                 | 430,353              |
| Depreciation                               | 205,667             | 9,305             | 4,088               | 4,040             | 1,837               | -                       | 224,937                | 49,120                 | 274,057              |
| Travel                                     | 92,357              | 2,294             | 22,774              | 3,217             | 30,580              | 326                     | 151,548                | 12,284                 | 163,832              |
| <b>Total expenses</b>                      | <b>\$ 8,002,329</b> | <b>\$ 841,789</b> | <b>\$ 3,838,749</b> | <b>\$ 654,614</b> | <b>\$ 1,322,197</b> | <b>\$ 5,355</b>         | <b>\$ 14,665,033</b>   | <b>\$ 1,075,717</b>    | <b>\$ 15,740,750</b> |

(Continued)

## The Agricultural and Labor Program, Incorporated

Statements of Functional Expenses (Continued)  
Years Ended June 30, 2017 and 2016

|                                            | 2016                |                   |                     |                   |                     |                         |                        |                        |                      |
|--------------------------------------------|---------------------|-------------------|---------------------|-------------------|---------------------|-------------------------|------------------------|------------------------|----------------------|
|                                            | Program Services    |                   |                     |                   |                     |                         |                        | Supporting Services    |                      |
|                                            | Head Start          | Child Development | Energy              | Food              | Social Services     | Employment and Training | Total Program Services | Management and General | Total Expenses       |
| Salaries                                   | \$ 3,913,452        | \$ 593,602        | \$ 534,744          | \$ 172,486        | \$ 432,276          | \$ -                    | \$ 5,646,560           | \$ 640,696             | \$ 6,287,256         |
| Fringe benefits                            | 1,020,712           | 151,565           | 140,413             | 45,347            | 102,030             | -                       | 1,460,067              | 161,628                | 1,621,695            |
| <b>Total salaries and related expenses</b> | <b>4,934,164</b>    | <b>745,167</b>    | <b>675,157</b>      | <b>217,833</b>    | <b>534,306</b>      | <b>-</b>                | <b>7,106,627</b>       | <b>802,324</b>         | <b>7,908,951</b>     |
| Grants, subsidies and contributions        | 1,260               | -                 | 3,384,972           | 4                 | 319,876             | 6,217                   | 3,712,329              | 36,870                 | 3,749,199            |
| In-kind expenses                           | 1,289,522           | -                 | -                   | -                 | -                   | -                       | 1,289,522              | -                      | 1,289,522            |
| Contractual services                       | 265,696             | 29,535            | 34,679              | 24,772            | 37,121              | -                       | 391,803                | 33,283                 | 425,086              |
| Rent and utilities                         | 303,498             | 6,462             | 52,162              | 52,705            | 25,690              | -                       | 440,517                | 22,375                 | 462,892              |
| Subcontractors                             | 308,854             | -                 | 22,470              | -                 | 111,114             | 900                     | 443,338                | -                      | 443,338              |
| Materials and supplies                     | 287,765             | 72,661            | 41,502              | 22,272            | 57,568              | 193                     | 481,961                | 43,466                 | 525,427              |
| Other                                      | 200,241             | 8,051             | 23,466              | 13,093            | 100,196             | -                       | 345,047                | 103,137                | 448,184              |
| Food                                       | 79,255              | 1,364             | -                   | 330,290           | -                   | -                       | 410,909                | -                      | 410,909              |
| Communications                             | 206,106             | 10,474            | 109,499             | 15,979            | 85,000              | -                       | 427,058                | 31,764                 | 458,822              |
| Depreciation                               | 115,890             | 4,719             | 3,956               | 1,954             | 1,169               | -                       | 127,688                | 24,533                 | 152,221              |
| Travel                                     | 31,546              | 518               | 16,898              | 4,903             | 29,922              | -                       | 83,787                 | 15,084                 | 98,871               |
| <b>Total expenses</b>                      | <b>\$ 8,023,797</b> | <b>\$ 878,951</b> | <b>\$ 4,364,761</b> | <b>\$ 683,805</b> | <b>\$ 1,301,962</b> | <b>\$ 7,310</b>         | <b>\$ 15,260,586</b>   | <b>\$ 1,112,836</b>    | <b>\$ 16,373,422</b> |

See notes to financial statements.

**The Agricultural and Labor Program, Incorporated**

**Statements of Cash Flows**  
**Years Ended June 30, 2017 and 2016**

|                                                                                                                    | 2017            | 2016            |
|--------------------------------------------------------------------------------------------------------------------|-----------------|-----------------|
| Cash flows from operating activities:                                                                              |                 |                 |
| Increase (decrease) in net assets                                                                                  | \$ 5,277        | \$ (102,827)    |
| Adjustments to reconcile increase (decrease) in net assets to net cash (used in) provided by operating activities: |                 |                 |
| Depreciation                                                                                                       | 274,057         | 152,221         |
| Grant revenue used to purchase property and equipment                                                              | (22,894)        | (21,849)        |
| In-kind contribution of property                                                                                   | -               | (5,700)         |
| Loss on disposal of property and equipment                                                                         | 12,341          | 22,755          |
| Changes in operating assets and liabilities:                                                                       |                 |                 |
| (Increase) decrease in assets:                                                                                     |                 |                 |
| Accounts receivable                                                                                                | (384,986)       | 234,552         |
| Prepaid expenses                                                                                                   | (19,979)        | 820             |
| Increase (decrease) in liabilities:                                                                                |                 |                 |
| Accounts payable                                                                                                   | 74,155          | (174,051)       |
| Accrued expenses                                                                                                   | 37,717          | 41,353          |
| Refundable advances                                                                                                | 6,550           | 45,208          |
| <b>Net cash (used in) provided by operating activities</b>                                                         | <b>(17,762)</b> | <b>192,482</b>  |
| Cash flows from investing activities:                                                                              |                 |                 |
| Purchases of property and equipment                                                                                | (22,894)        | (21,849)        |
| Increase in asset held for sale                                                                                    | (3,334)         | (28,446)        |
| <b>Net cash used in investing activities</b>                                                                       | <b>(26,228)</b> | <b>(50,295)</b> |
| Cash flows from financing activities:                                                                              |                 |                 |
| Grant revenue used to purchase property and equipment                                                              | 22,894          | 21,849          |
| <b>Net cash provided by financing activities</b>                                                                   | <b>22,894</b>   | <b>21,849</b>   |
| <b>Net (decrease) increase in cash</b>                                                                             | <b>(21,096)</b> | <b>164,036</b>  |
| Cash:                                                                                                              |                 |                 |
| Beginning                                                                                                          | 1,239,065       | 1,075,029       |
| Ending                                                                                                             | \$ 1,217,969    | \$ 1,239,065    |

See notes to financial statements.

## The Agricultural and Labor Program, Incorporated

### Notes to Financial Statements

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#### 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, 2017 and 2016.

**Asset held for sale:** Asset held for sale is reported at the lower of the carrying amount or fair value less cost to sell. Asset held for sale consists 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

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#### 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, 2017 and 2016.

**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 \$1,105,123 and \$1,289,522 for the years ended June 30, 2017 and 2016, 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, 2014.

**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

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#### 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. The updated standard will become effective for annual reporting periods beginning after December 15, 2018. Management has not yet selected a transition method and is currently evaluating the impact the updated standard will have on its financial statements.

In February 2016, the FASB issued its new lease accounting guidance in ASU No. 2016-02, *Leases (Topic 842)*. Under the new guidance, lessees will be required to recognize the following for all leases (with the exception of short-term leases) at the commencement date: (a) A lease liability, which is a lessee's obligation to make lease payments arising from a lease, measured on a discounted basis; and (b) A right-of-use asset, which is an asset that represents the lessee's right to use, or control the use of, a specified asset for the lease term. Lessees will no longer be provided with a source of off-balance sheet financing. Lessees must apply a modified retrospective transition approach for leases existing at, or entered into after, the beginning of the earliest comparative period presented in the financial statements. Nonpublic entities should apply the amendments for fiscal years beginning after December 15, 2019. Management is currently evaluating the impact this ASU will have 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. 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. Management 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 20, 2017, 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, 2017 and 2016, consists of the following:

|                                                 | 2017              | 2016              |
|-------------------------------------------------|-------------------|-------------------|
| U.S. Department of Health and Human Services    | \$ 421,582        | \$ 58,907         |
| State of Florida, Department of:                |                   |                   |
| Economic Opportunity                            | 177,849           | 302,253           |
| Health                                          | 98,505            | 7,782             |
| Education                                       | 13,665            | 14,000            |
| Children's Services Council of St. Lucie County | 30,379            | 13,293            |
| Other                                           | 27,365            | 9,267             |
| Heartland Coalition for the Homeless, Inc.      | 25,879            | -                 |
| Senior Connection Center, Inc.                  | 16,004            | 8,091             |
| Early Learning Coalition of St. Lucie County    | 4,068             | -                 |
| Florida Non-Profit Housing, Inc.                | -                 | 16,717            |
|                                                 | <u>\$ 815,296</u> | <u>\$ 430,310</u> |

#### Note 3. Property and Equipment

Property and equipment at June 30, 2017 and 2016, consists of the following:

|                               | 2017              | 2016                |
|-------------------------------|-------------------|---------------------|
| Land                          | \$ 545,000        | \$ 545,000          |
| Buildings and improvements    | 2,449,475         | 2,671,510           |
| Leasehold improvements        | 233,083           | 240,058             |
| Machinery and equipment       | 1,283,030         | 1,472,868           |
| Furniture and fixtures        | 237,586           | 239,967             |
|                               | <u>4,748,174</u>  | <u>5,169,403</u>    |
| Less accumulated depreciation | (3,969,776)       | (4,127,501)         |
|                               | <u>\$ 778,398</u> | <u>\$ 1,041,902</u> |

#### Note 4. Accrued Expenses

Accrued expenses at June 30, 2017 and 2016, consists of the following:

|                     | 2017              | 2016              |
|---------------------|-------------------|-------------------|
| Salaries            | \$ 184,194        | \$ 153,443        |
| Retirement benefits | 220,582           | 218,304           |
| Other               | 92,749            | 88,061            |
|                     | <u>\$ 497,525</u> | <u>\$ 459,808</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% (6.0% at June 30, 2017), which is unsecured and matures on February 3, 2018. There was no balance outstanding under the line of credit at June 30, 2017 and 2016.

#### 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, 2017, are as follows:

| Years ending June 30: |                   |
|-----------------------|-------------------|
| 2018                  | \$ 183,805        |
| 2019                  | 181,693           |
| 2020                  | 128,448           |
| 2021                  | 52,459            |
| 2022                  | 2,598             |
|                       | <u>\$ 549,003</u> |

Rent expense for the years ended June 30, 2017 and 2016, amounted to \$175,381 and \$193,201, respectively.

#### Note 7. Other Support and Revenue

Other support and revenue for the years ended June 30, 2017 and 2016, consists of the following:

|                                                  | 2017              | 2016              |
|--------------------------------------------------|-------------------|-------------------|
| Children's Services Council of St. Lucie County  | \$ 100,439        | \$ 72,128         |
| Senior Connection Center, Inc.                   | 100,356           | 115,472           |
| E-Rate                                           | 86,343            | 90,714            |
| Other                                            | 56,102            | 48,426            |
| Florida Association for Community Action, Inc.   | 46,291            | 12,709            |
| Child care fees                                  | 44,279            | 22,809            |
| Florida Non-Profit Housing, Inc.                 | 26,400            | 47,053            |
| Heartland Coalition for the Homeless, Inc.       | 25,879            | -                 |
| U.S. Department of Housing and Urban Development | 15,114            | 12,286            |
|                                                  | <u>\$ 501,203</u> | <u>\$ 421,597</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 \$220,582 and \$218,304 for the years ended June 30, 2017 and 2016, respectively.

**The Agricultural and Labor Program, Incorporated****Notes to Financial Statements**

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**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, 2017

| Grantor/Pass-Through/Program Title                                                          | Grant Number         | Federal CFDA # | Grant Period      | Federal Expenditures |
|---------------------------------------------------------------------------------------------|----------------------|----------------|-------------------|----------------------|
| <b>Federal Awards</b>                                                                       |                      |                |                   |                      |
| U.S. Department of Health and Human Services:                                               |                      |                |                   |                      |
| Direct program:                                                                             |                      |                |                   |                      |
| Head Start                                                                                  | 04CH4739/03          | 93.600         | 07/01/16-06/30/17 | \$ 7,414,082         |
| <b>Program total</b>                                                                        |                      |                |                   | <u>7,414,082</u>     |
| U.S. Department of Health and Human Services<br>passed through the following:               |                      |                |                   |                      |
| State of Florida Department of Economic Opportunity:                                        |                      |                |                   |                      |
| Low Income Home Energy Assistance                                                           | 16EA-0F-07-63-08-001 | 93.568         | 3/1/16-3/31/17    | 3,033,498            |
| Low Income Home Energy Assistance                                                           | 17EA-0F-07-63-08-001 | 93.568         | 4/1/17-3/31/18    | 792,568              |
| Senior Connection Center, Inc.:                                                             |                      |                |                   |                      |
| Low Income Home Energy Assistance                                                           | EH-17/18-ALPI        | 93.568         | 4/1/17-3/31/18    | 16,004               |
| Low Income Home Energy Assistance                                                           | EH-16/17-ALPI        | 93.568         | 4/1/16-3/31/17    | 84,352               |
| <b>Program total</b>                                                                        |                      |                |                   | <u>3,926,422</u>     |
| State of Florida Department of Economic Opportunity:                                        |                      |                |                   |                      |
| Community Services Block Grant                                                              | 17SB-0D-07-63-08-101 | 93.569         | 10/1/16-3/31/18   | 892,761              |
| Community Services Block Grant                                                              | 16SB-0D-07-63-08-001 | 93.569         | 10/1/15-12/31/16  | 331,592              |
| <b>Program total</b>                                                                        |                      |                |                   | <u>1,224,353</u>     |
| U.S. Department of Agriculture passed through the<br>State of Florida Department of Health: |                      |                |                   |                      |
| Child and Adult Care Food Program                                                           | S-501                | 10.558         | 10/1/16-9/30/17   | 580,985              |
| Child and Adult Care Food Program                                                           | S-501                | 10.558         | 10/1/15-9/30/16   | 134,911              |
| <b>Program total</b>                                                                        |                      |                |                   | <u>715,896</u>       |

(Continued)

## The Agricultural and Labor Program, Incorporated

Schedule of Expenditures of Federal Awards (Continued)  
Year Ended June 30, 2017

| Grantor/Pass-Through/Program Title                                                | Grant<br>Number | Federal<br>CFDA # | Grant Period    | Federal<br>Expenditures |
|-----------------------------------------------------------------------------------|-----------------|-------------------|-----------------|-------------------------|
| <b>Federal Awards (Continued)</b>                                                 |                 |                   |                 |                         |
| U.S. Department of Labor passed through the following:                            |                 |                   |                 |                         |
| State of Florida Department of Education:                                         |                 |                   |                 |                         |
| Farmworker Jobs and Education Program                                             | 755-4057B-7CFE1 | 17.264            | 7/1/16-6/30/17  | \$ 57,665               |
| Florida Non-Profit Housing, Inc.:                                                 |                 |                   |                 |                         |
| Farmworker Jobs and Education Program                                             | None            | 17,264            | 7/1/16-6/30/17  | <u>26,400</u>           |
| <b>Program total</b>                                                              |                 |                   |                 | <u>84,065</u>           |
| U.S. Department of Housing and Urban Development:                                 |                 |                   |                 |                         |
| Direct program:                                                                   |                 |                   |                 |                         |
| Housing Counseling Assistance Program                                             | HC17-0421-063   | 14.169            | 10/1/16-3/31/18 | 1,702                   |
| Housing Counseling Assistance Program                                             | HC16-0421-073   | 14.169            | 10/1/15-3/31/17 | <u>13,412</u>           |
| <b>Program total</b>                                                              |                 |                   |                 | <u>15,114</u>           |
| U.S. Department of Housing and Urban Development<br>passed through the following: |                 |                   |                 |                         |
| Heartland Coalition for the Homeless, Inc.:                                       |                 |                   |                 |                         |
| Emergency Solutions Grant Program                                                 | None            | 14.231            | 9/1/16-6/30/17  | <u>25,879</u>           |
| <b>Program total</b>                                                              |                 |                   |                 | <u>25,879</u>           |
| <b>Total expenditures of federal awards</b>                                       |                 |                   |                 | <u>\$ 13,405,811</u>    |

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, 2017

#### 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, 2017. The information in the 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.

#### Note 2. Summary of Significant Accounting Policies

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.

#### Note 3. Indirect Cost Rate

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, 2017, were based on fixed rates negotiated with ALPI's cognizant federal agency, the U.S. Department of Health and Human Services.

#### Note 4. Subrecipients

Of the federal expenditures presented in the Schedule, ALPI provided federal awards to subrecipients as follows:

| Program Title                     | Federal<br>CFDA # | Amount Provided<br>to Subrecipients |
|-----------------------------------|-------------------|-------------------------------------|
| Low Income Home Energy Assistance | 93.568            | \$ 24,030                           |
| Community Services Block Grant    | 93.569            | 93,471                              |
|                                   |                   | \$ 117,501                          |

#### Note 5. 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, 2017, as follows:

|                                 |              |
|---------------------------------|--------------|
| In-kind contributions           | \$ 1,105,123 |
| Early Learning Coalitions – VPK | 794,538      |
|                                 | \$ 1,899,661 |

Of the \$830,696 in Early Learning Coalitions – VPK revenue reported in the accompanying statements of activities, \$794,538 was used to meet the in-kind match requirement.



RSM US LLP

**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

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, 2017, 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 20, 2017.

**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*

Orlando, Florida  
November 20, 2017



RSM US LLP

**Report on Compliance for its 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

**Report on Compliance for its 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 The Agricultural and Labor Program, Incorporated's major federal program for the year ended June 30, 2017. The Agricultural and Labor Program, Incorporated's major federal program is 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 of The Agricultural and Labor Program, Incorporated's major federal program 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 its major federal program. However, our audit does not provide a legal determination on The Agricultural and Labor Program, Incorporated's compliance.

**Opinion on its 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 its major federal program for the year ended June 30, 2017.

**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 its major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for its 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.

*RSM US LLP*

Orlando, Florida  
November 20, 2017

**The Agricultural and Labor Program, Incorporated**

**Schedule of Findings and Questioned Costs  
Year Ended June 30, 2017**

**I – Summary of Auditor’s Results**

**Financial Statements**

|                                                       |                   |                            |  |
|-------------------------------------------------------|-------------------|----------------------------|--|
| Type of auditor’s report issued:                      | <u>Unmodified</u> |                            |  |
| Internal control over financial reporting:            |                   |                            |  |
| Material weakness(es) identified?                     | <u>      </u> Yes | <u>  X  </u> No            |  |
| Significant deficiency(ies) identified?               | <u>      </u> Yes | <u>  X  </u> None Reported |  |
| Noncompliance material to financial statements noted? | <u>      </u> Yes | <u>  X  </u> No            |  |

**Federal Awards**

|                                         |                   |                            |  |
|-----------------------------------------|-------------------|----------------------------|--|
| Internal control over major program:    |                   |                            |  |
| Material weakness(es) identified?       | <u>      </u> Yes | <u>  X  </u> No            |  |
| Significant deficiency(ies) identified? | <u>      </u> Yes | <u>  X  </u> None Reported |  |

Type of auditor’s report issued on compliance for major program:

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 program:

**CFDA Number(s)**

93.600

**Name of Federal Program or Cluster**

Head Start

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 to report.

**III – Findings and Questioned Costs for Federal Awards**

No matters to report.

**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.

EXTENDED TO MAY 15, 2017

Form **990**

**Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

**2015**

Department of the Treasury  
Internal Revenue Service

▶ 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](http://www.irs.gov/form990).

Open to Public Inspection

**A** For the 2015 calendar year, or tax year beginning **JUL 1, 2015** and ending **JUN 30, 2016**

|                                                                                                                                                                                                                                                                                                            |                                                                                                               |  |                                                                                                                                                   |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <b>B</b> Check if applicable:<br><input type="checkbox"/> Address change<br><input type="checkbox"/> Name change<br><input type="checkbox"/> Initial return<br><input type="checkbox"/> Final return/terminated<br><input type="checkbox"/> Amended return<br><input type="checkbox"/> Application pending | <b>C</b> Name of organization<br><b>THE AGRICULTURAL AND LABOR PROGRAM, INC.</b>                              |  | <b>D</b> Employer identification number<br><b>59-1634148</b>                                                                                      |  |
|                                                                                                                                                                                                                                                                                                            | Doing business as                                                                                             |  | <b>E</b> Telephone number<br><b>863-956-3491</b>                                                                                                  |  |
|                                                                                                                                                                                                                                                                                                            | Number and street (or P.O. box if mail is not delivered to street address) Room/suite<br><b>P.O. BOX 3126</b> |  | <b>G</b> Gross receipts \$ <b>14,981,073.</b>                                                                                                     |  |
|                                                                                                                                                                                                                                                                                                            | City or town, state or province, country, and ZIP or foreign postal code<br><b>WINTER HAVEN, FL 33885</b>     |  | <b>H(a)</b> Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                          |  |
|                                                                                                                                                                                                                                                                                                            | <b>F</b> Name and address of principal officer: <b>DELORIS JOHNSON</b><br><b>SAME AS C ABOVE</b>              |  | <b>H(b)</b> Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If "No," attach a list. (see instructions) |  |
| <b>I</b> Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527                                                                                                           |                                                                                                               |  |                                                                                                                                                   |  |
| <b>J</b> Website: ▶ <b>WWW.ALPI.ORG</b>                                                                                                                                                                                                                                                                    |                                                                                                               |  |                                                                                                                                                   |  |
| <b>K</b> Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶                                                                                                                        |                                                                                                               |  |                                                                                                                                                   |  |
| <b>L</b> Year of formation: <b>1976</b> <b>M</b> State of legal domicile: <b>FL</b>                                                                                                                                                                                                                        |                                                                                                               |  |                                                                                                                                                   |  |

**Part I Summary**

|                                                                         |                                                                                                                                                                                                          |                                  |                     |
|-------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------------------|
| <b>Activities &amp; Governance</b>                                      | <b>1</b> Briefly describe the organization's mission or most significant activities: <b>TO PROVIDE ASSISTANCE TO MIGRANT &amp; SEASONAL FARM WORKERS, THE RURAL POOR, &amp; DISENFRANCHISED PERSONS.</b> |                                  |                     |
|                                                                         | <b>2</b> Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.                                                         |                                  |                     |
|                                                                         | <b>3</b> Number of voting members of the governing body (Part VI, line 1a)                                                                                                                               | <b>3</b>                         | <b>21</b>           |
|                                                                         | <b>4</b> Number of independent voting members of the governing body (Part VI, line 1b)                                                                                                                   | <b>4</b>                         | <b>21</b>           |
|                                                                         | <b>5</b> Total number of individuals employed in calendar year 2015 (Part V, line 2a)                                                                                                                    | <b>5</b>                         | <b>269</b>          |
|                                                                         | <b>6</b> Total number of volunteers (estimate if necessary)                                                                                                                                              | <b>6</b>                         | <b>1297</b>         |
|                                                                         | <b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12                                                                                                                           | <b>7a</b>                        | <b>0.</b>           |
| <b>b</b> Net unrelated business taxable income from Form 990-T, line 34 | <b>7b</b>                                                                                                                                                                                                | <b>0.</b>                        |                     |
| <b>Revenue</b>                                                          | <b>8</b> Contributions and grants (Part VIII, line 1h)                                                                                                                                                   | <b>Prior Year</b>                | <b>Current Year</b> |
|                                                                         | <b>9</b> Program service revenue (Part VIII, line 2g)                                                                                                                                                    | <b>15,236,019.</b>               | <b>14,920,243.</b>  |
|                                                                         | <b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)                                                                                                                                  | <b>20,067.</b>                   | <b>22,809.</b>      |
|                                                                         | <b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)                                                                                                                       | <b>2,735.</b>                    | <b>-22,151.</b>     |
|                                                                         | <b>12</b> Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)                                                                                                             | <b>30,163.</b>                   | <b>37,415.</b>      |
| <b>Expenses</b>                                                         | <b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1-3)                                                                                                                               | <b>15,288,984.</b>               | <b>14,958,316.</b>  |
|                                                                         | <b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)                                                                                                                                  | <b>4,690,294.</b>                | <b>4,192,537.</b>   |
|                                                                         | <b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)                                                                                                              | <b>0.</b>                        | <b>0.</b>           |
|                                                                         | <b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)                                                                                                                                 | <b>7,728,536.</b>                | <b>7,908,951.</b>   |
|                                                                         | <b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>0.</b>                                                                                                                           | <b>0.</b>                        | <b>0.</b>           |
|                                                                         | <b>17</b> Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)                                                                                                                                   | <b>3,005,112.</b>                | <b>2,959,655.</b>   |
|                                                                         | <b>18</b> Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)                                                                                                                      | <b>15,423,942.</b>               | <b>15,061,143.</b>  |
| <b>19</b> Revenue less expenses. Subtract line 18 from line 12          | <b>-134,958.</b>                                                                                                                                                                                         | <b>-102,827.</b>                 |                     |
| <b>Net Assets or Fund Balances</b>                                      | <b>20</b> Total assets (Part X, line 16)                                                                                                                                                                 | <b>Beginning of Current Year</b> | <b>End of Year</b>  |
|                                                                         | <b>21</b> Total liabilities (Part X, line 26)                                                                                                                                                            | <b>2,959,454.</b>                | <b>2,769,137.</b>   |
|                                                                         | <b>22</b> Net assets or fund balances. Subtract line 21 from line 20                                                                                                                                     | <b>1,041,165.</b>                | <b>953,675.</b>     |
|                                                                         |                                                                                                                                                                                                          | <b>1,918,289.</b>                | <b>1,815,462.</b>   |

**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.

|                                                                           |                                                             |                      |                                |                                                      |
|---------------------------------------------------------------------------|-------------------------------------------------------------|----------------------|--------------------------------|------------------------------------------------------|
| <b>Sign Here</b>                                                          | Signature of officer                                        |                      | Date                           |                                                      |
|                                                                           | <b>DELORIS JOHNSON, CEO</b><br>Type or print name and title |                      |                                |                                                      |
| <b>Paid Preparer Use Only</b>                                             | Print/Type preparer's name                                  | Preparer's signature | Date                           | Check if self-employed <input type="checkbox"/> PTIN |
|                                                                           | <b>THERESA A. BURDINE, CPA</b>                              |                      |                                | <b>P00362629</b>                                     |
| Firm's name ▶ <b>RSM US LLP</b>                                           |                                                             |                      | Firm's EIN ▶ <b>42-0714325</b> |                                                      |
| Firm's address ▶ <b>7351 OFFICE PARK PL</b><br><b>MELBOURNE, FL 32940</b> |                                                             |                      | Phone no. <b>321-751-6200</b>  |                                                      |

May the IRS discuss this return with the preparer shown above? (see instructions)  Yes  No

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 No

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No

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 \$ 1,562,756. including grants of \$ ) (Revenue \$ 22,809.) FOOD AND CHILD CARE CENTER ACTIVITIES PROVIDED BY CONTRACT FROM STATE OF FLORIDA DEPT OF HEALTH AND REHABILITATION SERVICES. ESTIMATED ACTIVITY - 831 CHILDREN FOR FOOD AND CHILD CARE ACTIVITIES.

4b (Code: ) (Expenses \$ 5,710,903. including grants of \$ 3,881,519.) (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 - 28,672 CLIENTS SERVED.

4c (Code: ) (Expenses \$ 6,716,755. including grants of \$ 311,018.) (Revenue \$ ) PRESCHOOL TRAINING OF CHILDREN UNDER THE HEAD START PROGRAM CONTRACTED WITH THE U.S. DEPT OF HEALTH AND HUMAN SERVICES. ESTIMATED ACTIVITY - 831 CHILDREN ENROLLED.

4d Other program services (Describe in Schedule O.) (Expenses \$ including grants of \$ ) (Revenue \$ )

4e Total program service expenses 13,990,414.

**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)?<br><i>If "Yes," complete Schedule A</i>                                                                                                                                                                        | X   |    |
| 2   | Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?                                                                                                                                                                                                                             | X   |    |
| 3   | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>                                                                                                                        |     | X  |
| 4   | <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>                                                                                                         |     | 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? <i>If "Yes," complete Schedule C, Part III</i>                                                                                 |     | 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? <i>If "Yes," complete Schedule D, Part I</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? <i>If "Yes," complete Schedule D, Part II</i>                                                                                              |     | X  |
| 8   | Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>                                                                                                                                                           |     | 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? <i>If "Yes," complete Schedule D, Part IV</i>              |     | X  |
| 10  | Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>                                                                                                        |     | 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.                                                                                                                                                                    |     |    |
| 11a | a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>                                                                                                                                                                       | X   |    |
| 11b | 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? <i>If "Yes," complete Schedule D, Part VII</i>                                                                                                   |     | X  |
| 11c | 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? <i>If "Yes," complete Schedule D, Part VIII</i>                                                                                                   |     | X  |
| 11d | 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? <i>If "Yes," complete Schedule D, Part IX</i>                                                                                                                      |     | X  |
| 11e | e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>                                                                                                                                                                                     | X   |    |
| 11f | 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)? <i>If "Yes," complete Schedule D, Part X</i>                                                            | X   |    |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>                                                                                                                                                            | X   |    |
| 12b | b Was the organization included in consolidated, independent audited financial statements for the tax year?<br><i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>                                                                        |     | X  |
| 13  | Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>                                                                                                                                                                                                           |     | X  |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States?                                                                                                                                                                                                                        |     | X  |
| 14b | 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? <i>If "Yes," complete Schedule F, Parts I and IV</i> |     | 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? <i>If "Yes," complete Schedule F, Parts II and IV</i>                                                                                                              |     | 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? <i>If "Yes," complete Schedule F, Parts III and IV</i>                                                                                                        |     | 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? <i>If "Yes," complete Schedule G, Part I</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? <i>If "Yes," complete Schedule G, Part II</i>                                                                                                                              | X   |    |
| 19  | Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>                                                                                                                                                        |     | X  |

**Part IV Checklist of Required Schedules** (continued)

|                                                                                                                                                                                                                                                                                                                     | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>                                                                                                                                                                                                              |     | X  |
| b <i>If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?</i>                                                                                                                                                                                               |     |    |
| 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? <i>If "Yes," complete Schedule I, Parts I and II</i>                                                                                             | 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? <i>If "Yes," complete Schedule I, Parts I and III</i>                                                                                                                 | 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? <i>If "Yes," complete Schedule J</i>                                                      | 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? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>                           |     | 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 <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</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? <i>If "Yes," complete Schedule L, Part I</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? <i>If "Yes," complete Schedule L, Part II</i>                                 |     | 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? <i>If "Yes," complete Schedule L, Part III</i> |     | 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? <i>If "Yes," complete Schedule L, Part IV</i>                                                                                                                                                                                                    |     | X  |
| b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>                                                                                                                                                                                 |     | 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? <i>If "Yes," complete Schedule L, Part IV</i>                                                                                     |     | X  |
| 29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>                                                                                                                                                                                                  |     | X  |
| 30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>                                                                                                                                  |     | X  |
| 31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>                                                                                                                                                                                        |     | X  |
| 32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>                                                                                                                                                                      |     | 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? <i>If "Yes," complete Schedule R, Part I</i>                                                                                                                      |     | X  |
| 34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>                                                                                                                                                                  | X   |    |
| 35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?                                                                                                                                                                                                                         |     | X  |
| b <i>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</i>                                                                                          |     |    |
| 36 <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>                                                                                                                           |     | X  |
| 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? <i>If "Yes," complete Schedule R, Part VI</i>                                                                             |     | 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

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**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

|            |                                                                                                                                                                                                                                            | Yes | No |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>1a</b>  | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable                                                                                                                                                               |     |    |
| <b>1b</b>  | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable                                                                                                                                                            |     |    |
| <b>1c</b>  | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?                                                                                   | X   |    |
| <b>2a</b>  | 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                                                              |     |    |
| <b>2b</b>  | If at least one is reported on line 2a, did the organization file all required federal employment tax returns?<br><b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)         | X   |    |
| <b>3a</b>  | Did the organization have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                              |     | X  |
| <b>3b</b>  | If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O                                                                                                                               |     |    |
| <b>4a</b>  | 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>4b</b>  | If "Yes," enter the name of the foreign country:<br>See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).                                                                    |     |    |
| <b>5a</b>  | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?                                                                                                                                      |     | X  |
| <b>5b</b>  | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?                                                                                                                           |     | X  |
| <b>5c</b>  | If "Yes," to line 5a or 5b, did the organization file Form 8886-T?                                                                                                                                                                         |     |    |
| <b>6a</b>  | 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>6b</b>  | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?                                                                                              |     |    |
| <b>7</b>   | <b>Organizations that may receive deductible contributions under section 170(c).</b>                                                                                                                                                       |     |    |
| <b>7a</b>  | 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>7b</b>  | If "Yes," did the organization notify the donor of the value of the goods or services provided?                                                                                                                                            |     |    |
| <b>7c</b>  | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?                                                                                                       |     | X  |
| <b>7d</b>  | If "Yes," indicate the number of Forms 8282 filed during the year                                                                                                                                                                          |     |    |
| <b>7e</b>  | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?                                                                                                                            |     | X  |
| <b>7f</b>  | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?                                                                                                                               |     | X  |
| <b>7g</b>  | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?                                                                                                           |     |    |
| <b>7h</b>  | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?                                                                                                         |     |    |
| <b>8</b>   | <b>Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?                                             |     |    |
| <b>9</b>   | <b>Sponsoring organizations maintaining donor advised funds.</b>                                                                                                                                                                           |     |    |
| <b>9a</b>  | Did the sponsoring organization make any taxable distributions under section 4966?                                                                                                                                                         |     |    |
| <b>9b</b>  | Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?                                                                                                                                          |     |    |
| <b>10</b>  | <b>Section 501(c)(7) organizations.</b> Enter:                                                                                                                                                                                             |     |    |
| <b>10a</b> | Initiation fees and capital contributions included on Part VIII, line 12                                                                                                                                                                   |     |    |
| <b>10b</b> | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities                                                                                                                                                |     |    |
| <b>11</b>  | <b>Section 501(c)(12) organizations.</b> Enter:                                                                                                                                                                                            |     |    |
| <b>11a</b> | Gross income from members or shareholders                                                                                                                                                                                                  |     |    |
| <b>11b</b> | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)                                                                                                               |     |    |
| <b>12a</b> | <b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?                                                                                                                          |     |    |
| <b>12b</b> | If "Yes," enter the amount of tax-exempt interest received or accrued during the year                                                                                                                                                      |     |    |
| <b>13</b>  | <b>Section 501(c)(29) qualified nonprofit health insurance issuers.</b>                                                                                                                                                                    |     |    |
| <b>13a</b> | Is the organization licensed to issue qualified health plans in more than one state?<br><b>Note.</b> See the instructions for additional information the organization must report on Schedule O.                                           |     |    |
| <b>13b</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                                                                                  |     |    |
| <b>13c</b> | Enter the amount of reserves on hand                                                                                                                                                                                                       |     |    |
| <b>14a</b> | Did the organization receive any payments for indoor tanning services during the tax year?                                                                                                                                                 |     | X  |
| <b>14b</b> | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O                                                                                                                                  |     |    |

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**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**

|           |                                                                                                                                                                                                                                                                                                          | Yes | No |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>1a</b> | Enter the number of voting members of the governing body at the end of the tax year<br>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. |     |    |
|           | 1a 21                                                                                                                                                                                                                                                                                                    |     |    |
| <b>b</b>  | Enter the number of voting members included in line 1a, above, who are independent                                                                                                                                                                                                                       |     |    |
|           | 1b 21                                                                                                                                                                                                                                                                                                    |     |    |
| <b>2</b>  | 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  |
| <b>3</b>  | 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  |
| <b>4</b>  | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?                                                                                                                                                                                         |     | X  |
| <b>5</b>  | Did the organization become aware during the year of a significant diversion of the organization's assets?                                                                                                                                                                                               |     | X  |
| <b>6</b>  | Did the organization have members or stockholders?                                                                                                                                                                                                                                                       |     | X  |
| <b>7a</b> | 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>b</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  |
| <b>8</b>  | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:                                                                                                                                                                        |     |    |
| <b>a</b>  | The governing body?                                                                                                                                                                                                                                                                                      | X   |    |
| <b>b</b>  | Each committee with authority to act on behalf of the governing body?                                                                                                                                                                                                                                    |     | X  |
| <b>9</b>  | 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 |
|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>10a</b> | Did the organization have local chapters, branches, or affiliates?                                                                                                                                                                                                                           |     | X  |
| <b>b</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?                                                                   |     |    |
| <b>10b</b> |                                                                                                                                                                                                                                                                                              |     |    |
| <b>11a</b> | Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?                                                                                                                                                                  |     | X  |
| <b>b</b>   | Describe in Schedule O the process, if any, used by the organization to review this Form 990.                                                                                                                                                                                                |     |    |
| <b>12a</b> | Did the organization have a written conflict of interest policy? If "No," go to line 13                                                                                                                                                                                                      |     | X  |
| <b>b</b>   | Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?                                                                                                                                                          |     |    |
| <b>12b</b> |                                                                                                                                                                                                                                                                                              |     |    |
| <b>c</b>   | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done                                                                                                                                           |     |    |
| <b>12c</b> |                                                                                                                                                                                                                                                                                              |     |    |
| <b>13</b>  | Did the organization have a written whistleblower policy?                                                                                                                                                                                                                                    |     | X  |
| <b>14</b>  | Did the organization have a written document retention and destruction policy?                                                                                                                                                                                                               | X   |    |
| <b>15</b>  | 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?                                                                         |     |    |
| <b>a</b>   | The organization's CEO, Executive Director, or top management official                                                                                                                                                                                                                       | X   |    |
| <b>15a</b> |                                                                                                                                                                                                                                                                                              |     |    |
| <b>b</b>   | Other officers or key employees of the organization                                                                                                                                                                                                                                          | X   |    |
| <b>15b</b> |                                                                                                                                                                                                                                                                                              |     |    |
|            | If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).                                                                                                                                                                                                          |     |    |
| <b>16a</b> | 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>b</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? |     |    |
| <b>16b</b> |                                                                                                                                                                                                                                                                                              |     |    |

**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)<br>Name and Title                      | (B)<br>Average hours per week (list any hours for related organizations below line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>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) HOLT, WILLIAM<br>CHAIRPERSON           | 4.00                                                                                | X                                                                                                         |                       | X       |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (2) WALKER, DAVID<br>VICE CHAIRPERSON      | 4.00                                                                                | X                                                                                                         |                       | X       |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (3) HOWARD, JOSEPHINE<br>SECRETARY         | 4.00                                                                                | X                                                                                                         |                       | X       |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (4) GASKIN, MARJORIE<br>TREASURER          | 4.00                                                                                | X                                                                                                         |                       | X       |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (5) BROWN, PATRICIA<br>DIRECTOR            | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (6) CAMPBELL-DOMINECK, STACY<br>DIRECTOR   | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (7) CHILOUS, ANNESSA<br>DIRECTOR           | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (8) CLARKE, KATIE<br>DIRECTOR              | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (9) CURRY, DOROTHY<br>DIRECTOR             | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (10) ESTIME-CONNELLY, MERCADEZ<br>DIRECTOR | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (11) GAMBLE, PATRICIA<br>DIRECTOR          | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (12) HAWKINS, MARVA<br>DIRECTOR            | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (13) HOLMES, LAVITA<br>DIRECTOR            | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (14) JOHNSON, KIM<br>DIRECTOR              | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (15) JONES, GLENDA<br>DIRECTOR             | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (16) MCQUEEN, VERNON<br>DIRECTOR           | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |
| (17) MCNORTON, CHESTER<br>DIRECTOR         | 4.00                                                                                | X                                                                                                         |                       |         |              |                              | 0.     | 0.                                                                   | 0.                                                                        |                                                                                               |

**Part VII** Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

| (A)<br>Name and title                                          | (B)<br>Average hours per week (list any hours for related organizations below line) | (C)<br>Position (do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                                |                                                                                     | Individual trustee or director                                                                            | Institutional trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| (18) ROBERTS, LESTER<br>DIRECTOR                               | 4.00                                                                                | X                                                                                                         |                       |         |              |                              |        | 0.                                                                   | 0.                                                                        | 0.                                                                                            |
| (19) ROBINSON, ANNIE<br>DIRECTOR                               | 4.00                                                                                | X                                                                                                         |                       |         |              |                              |        | 0.                                                                   | 0.                                                                        | 0.                                                                                            |
| (20) ROSS, KIMBERLY<br>DIRECTOR                                | 4.00                                                                                | X                                                                                                         |                       |         |              |                              |        | 0.                                                                   | 0.                                                                        | 0.                                                                                            |
| (21) WILLIX, RUBY<br>DIRECTOR                                  | 4.00                                                                                | X                                                                                                         |                       |         |              |                              |        | 0.                                                                   | 0.                                                                        | 0.                                                                                            |
| (22) JOHNSON, DELORIS<br>CHIEF EXECUTIVE OFFICER               | 40.00                                                                               |                                                                                                           |                       | X       |              |                              |        | 156,626.                                                             | 0.                                                                        | 25,803.                                                                                       |
| <b>1b Sub-total</b>                                            |                                                                                     |                                                                                                           |                       |         |              |                              |        | 156,626.                                                             | 0.                                                                        | 25,803.                                                                                       |
| <b>c Total from continuation sheets to Part VII, Section A</b> |                                                                                     |                                                                                                           |                       |         |              |                              |        | 0.                                                                   | 0.                                                                        | 0.                                                                                            |
| <b>d Total (add lines 1b and 1c)</b>                           |                                                                                     |                                                                                                           |                       |         |              |                              |        | 156,626.                                                             | 0.                                                                        | 25,803.                                                                                       |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **1**

|                                                                                                                                                                                                                                | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 3 Did the organization list any <b>former</b> officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual                                       |     | X  |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual | X   |    |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person                       |     | X  |

**Section B. Independent Contractors**

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

| (A)<br>Name and business address                                    | (B)<br>Description of services | (C)<br>Compensation |
|---------------------------------------------------------------------|--------------------------------|---------------------|
| CENTURION SERVICES, LLC<br>4545 OLD COLONY ROAD, MULBERRY, FL 33860 | IT SERVICES                    | 104,322.            |
|                                                                     |                                |                     |
|                                                                     |                                |                     |
|                                                                     |                                |                     |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **1**

**Part VIII Statement of Revenue**

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

|                                                               |                                                                                                                              | (A)<br>Total revenue                           | (B)<br>Related or<br>exempt function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue excluded<br>from tax under<br>sections<br>512 - 514 |  |
|---------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|-------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------|--|
| Contributions, Gifts, Grants and Other Similar Amounts        | 1 a Federated campaigns                                                                                                      | 1a                                             |                                                 |                                         |                                                                    |  |
|                                                               | b Membership dues                                                                                                            | 1b                                             |                                                 |                                         |                                                                    |  |
|                                                               | c Fundraising events                                                                                                         | 1c                                             |                                                 |                                         |                                                                    |  |
|                                                               | d Related organizations                                                                                                      | 1d                                             |                                                 |                                         |                                                                    |  |
|                                                               | e Government grants (contributions)                                                                                          | 1e                                             | 14,920,213.                                     |                                         |                                                                    |  |
|                                                               | f All other contributions, gifts, grants, and similar amounts not included above                                             | 1f                                             | 30.                                             |                                         |                                                                    |  |
|                                                               | g Noncash contributions included in lines 1a-1f: \$                                                                          |                                                |                                                 |                                         |                                                                    |  |
|                                                               | <b>h Total.</b> Add lines 1a-1f                                                                                              |                                                | 14,920,243.                                     |                                         |                                                                    |  |
|                                                               | Program Service Revenue                                                                                                      | 2 a CHILD CARE FEES                            | Business Code<br>624410                         | 22,809.                                 | 22,809.                                                            |  |
| b                                                             |                                                                                                                              |                                                |                                                 |                                         |                                                                    |  |
| c                                                             |                                                                                                                              |                                                |                                                 |                                         |                                                                    |  |
| d                                                             |                                                                                                                              |                                                |                                                 |                                         |                                                                    |  |
| e                                                             |                                                                                                                              |                                                |                                                 |                                         |                                                                    |  |
| f All other program service revenue                           |                                                                                                                              |                                                |                                                 |                                         |                                                                    |  |
| <b>g Total.</b> Add lines 2a-2f                               |                                                                                                                              |                                                | 22,809.                                         |                                         |                                                                    |  |
| Other Revenue                                                 | 3 Investment income (including dividends, interest, and other similar amounts)                                               |                                                | 606.                                            |                                         | 606.                                                               |  |
|                                                               | 4 Income from investment of tax-exempt bond proceeds                                                                         |                                                |                                                 |                                         |                                                                    |  |
|                                                               | 5 Royalties                                                                                                                  |                                                |                                                 |                                         |                                                                    |  |
|                                                               | 6 a Gross rents                                                                                                              | (i) Real                                       |                                                 |                                         |                                                                    |  |
|                                                               |                                                                                                                              | (ii) Personal                                  |                                                 |                                         |                                                                    |  |
|                                                               |                                                                                                                              | b Less: rental expenses                        |                                                 |                                         |                                                                    |  |
|                                                               |                                                                                                                              | c Rental income or (loss)                      |                                                 |                                         |                                                                    |  |
|                                                               | d Net rental income or (loss)                                                                                                |                                                |                                                 |                                         |                                                                    |  |
|                                                               | 7 a Gross amount from sales of assets other than inventory                                                                   | (i) Securities                                 |                                                 |                                         |                                                                    |  |
|                                                               |                                                                                                                              | (ii) Other                                     |                                                 |                                         |                                                                    |  |
|                                                               |                                                                                                                              | b Less: cost or other basis and sales expenses |                                                 | 22,757.                                 |                                                                    |  |
|                                                               |                                                                                                                              | c Gain or (loss)                               |                                                 | -22,757.                                |                                                                    |  |
|                                                               | d Net gain or (loss)                                                                                                         |                                                | -22,757.                                        |                                         | -22,757.                                                           |  |
|                                                               | 8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18 | a                                              | 36,739.                                         |                                         |                                                                    |  |
| b Less: direct expenses                                       |                                                                                                                              | b                                              | 0.                                              |                                         |                                                                    |  |
| c Net income or (loss) from fundraising events                |                                                                                                                              |                                                | 36,739.                                         |                                         | 36,739.                                                            |  |
| 9 a Gross income from gaming activities. See Part IV, line 19 | a                                                                                                                            |                                                |                                                 |                                         |                                                                    |  |
|                                                               | b Less: direct expenses                                                                                                      | b                                              |                                                 |                                         |                                                                    |  |
|                                                               | c Net income or (loss) from gaming activities                                                                                |                                                |                                                 |                                         |                                                                    |  |
| 10 a Gross sales of inventory, less returns and allowances    | a                                                                                                                            |                                                |                                                 |                                         |                                                                    |  |
|                                                               | b Less: cost of goods sold                                                                                                   | b                                              |                                                 |                                         |                                                                    |  |
|                                                               | c Net income or (loss) from sales of inventory                                                                               |                                                |                                                 |                                         |                                                                    |  |
| Miscellaneous Revenue                                         |                                                                                                                              | Business Code                                  |                                                 |                                         |                                                                    |  |
| 11 a OTHER REVENUE                                            | 900099                                                                                                                       | 676.                                           | 676.                                            |                                         |                                                                    |  |
|                                                               | b                                                                                                                            |                                                |                                                 |                                         |                                                                    |  |
|                                                               | c                                                                                                                            |                                                |                                                 |                                         |                                                                    |  |
|                                                               | d All other revenue                                                                                                          |                                                |                                                 |                                         |                                                                    |  |
| <b>e Total.</b> Add lines 11a-11d                             |                                                                                                                              | 676.                                           |                                                 |                                         |                                                                    |  |
| <b>12 Total revenue.</b> See instructions.                    |                                                                                                                              | 14,958,316.                                    | 23,485.                                         | 0.                                      | 14,588.                                                            |  |

**Part IX Statement of Functional Expenses**

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

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

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. |                                                                                                                                                                                                                                                  | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------|----------------------------------------|-----------------------------|
| 1                                                                              | Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21                                                                                                                                             | 443,338.              | 443,338.                        |                                        |                             |
| 2                                                                              | Grants and other assistance to domestic individuals. See Part IV, line 22                                                                                                                                                                        | 3,749,199.            | 3,749,199.                      |                                        |                             |
| 3                                                                              | Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16                                                                                                                 |                       |                                 |                                        |                             |
| 4                                                                              | Benefits paid to or for members                                                                                                                                                                                                                  |                       |                                 |                                        |                             |
| 5                                                                              | Compensation of current officers, directors, trustees, and key employees                                                                                                                                                                         |                       |                                 |                                        |                             |
| 6                                                                              | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)                                                                                                    |                       |                                 |                                        |                             |
| 7                                                                              | Other salaries and wages                                                                                                                                                                                                                         | 6,287,256.            | 5,646,560.                      | 640,696.                               |                             |
| 8                                                                              | Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)                                                                                                                                               |                       |                                 |                                        |                             |
| 9                                                                              | Other employee benefits                                                                                                                                                                                                                          | 1,621,695.            | 1,460,067.                      | 161,628.                               |                             |
| 10                                                                             | Payroll taxes                                                                                                                                                                                                                                    |                       |                                 |                                        |                             |
| 11                                                                             | Fees for services (non-employees):                                                                                                                                                                                                               |                       |                                 |                                        |                             |
| a                                                                              | Management                                                                                                                                                                                                                                       |                       |                                 |                                        |                             |
| b                                                                              | Legal                                                                                                                                                                                                                                            |                       |                                 |                                        |                             |
| c                                                                              | Accounting                                                                                                                                                                                                                                       |                       |                                 |                                        |                             |
| d                                                                              | Lobbying                                                                                                                                                                                                                                         |                       |                                 |                                        |                             |
| e                                                                              | Professional fundraising services. See Part IV, line 17                                                                                                                                                                                          |                       |                                 |                                        |                             |
| f                                                                              | Investment management fees                                                                                                                                                                                                                       |                       |                                 |                                        |                             |
| g                                                                              | Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)                                                                                                                                          | 124,477.              | 114,731.                        | 9,746.                                 |                             |
| 12                                                                             | Advertising and promotion                                                                                                                                                                                                                        | 2,804.                | 2,159.                          | 645.                                   |                             |
| 13                                                                             | Office expenses                                                                                                                                                                                                                                  | 984,249.              | 909,019.                        | 75,230.                                |                             |
| 14                                                                             | Information technology                                                                                                                                                                                                                           |                       |                                 |                                        |                             |
| 15                                                                             | Royalties                                                                                                                                                                                                                                        |                       |                                 |                                        |                             |
| 16                                                                             | Occupancy                                                                                                                                                                                                                                        | 462,510.              | 436,118.                        | 26,392.                                |                             |
| 17                                                                             | Travel                                                                                                                                                                                                                                           | 98,871.               | 83,787.                         | 15,084.                                |                             |
| 18                                                                             | Payments of travel or entertainment expenses for any federal, state, or local public officials                                                                                                                                                   |                       |                                 |                                        |                             |
| 19                                                                             | Conferences, conventions, and meetings                                                                                                                                                                                                           |                       |                                 |                                        |                             |
| 20                                                                             | Interest                                                                                                                                                                                                                                         |                       |                                 |                                        |                             |
| 21                                                                             | Payments to affiliates                                                                                                                                                                                                                           |                       |                                 |                                        |                             |
| 22                                                                             | Depreciation, depletion, and amortization                                                                                                                                                                                                        | 152,221.              | 127,688.                        | 24,533.                                |                             |
| 23                                                                             | Insurance                                                                                                                                                                                                                                        | 165,917.              | 152,926.                        | 12,991.                                |                             |
| 24                                                                             | Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)                                               |                       |                                 |                                        |                             |
| a                                                                              | <b>FOOD</b>                                                                                                                                                                                                                                      | 410,909.              | 410,909.                        |                                        |                             |
| b                                                                              | <b>IN-SERVICE TRAINING</b>                                                                                                                                                                                                                       | 256,235.              | 197,270.                        | 58,965.                                |                             |
| c                                                                              | <b>EQUIPMENT RENTAL</b>                                                                                                                                                                                                                          | 135,073.              | 128,544.                        | 6,529.                                 |                             |
| d                                                                              | <b>VEHICLE OPERATION &amp; MAI</b>                                                                                                                                                                                                               | 56,311.               | 43,353.                         | 12,958.                                |                             |
| e                                                                              | All other expenses                                                                                                                                                                                                                               | 110,078.              | 84,746.                         | 25,332.                                |                             |
| 25                                                                             | <b>Total functional expenses.</b> Add lines 1 through 24e                                                                                                                                                                                        | 15,061,143.           | 13,990,414.                     | 1,070,729.                             | 0.                          |
| 26                                                                             | <b>Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.<br>Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720) |                       |                                 |                                        |                             |

**Part X Balance Sheet**

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

|                             |                                                                                                                                                            | (A)<br>Beginning of year                                                                                                                                                                                                                                                                                          |            | (B)<br>End of year |            |
|-----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--------------------|------------|
| Assets                      | 1                                                                                                                                                          | Cash - non-interest-bearing                                                                                                                                                                                                                                                                                       | 1,075,029. | 1                  | 1,239,065. |
|                             | 2                                                                                                                                                          | Savings and temporary cash investments                                                                                                                                                                                                                                                                            |            | 2                  |            |
|                             | 3                                                                                                                                                          | Pledges and grants receivable, net                                                                                                                                                                                                                                                                                | 659,739.   | 3                  | 428,323.   |
|                             | 4                                                                                                                                                          | Accounts receivable, net                                                                                                                                                                                                                                                                                          | 5,123.     | 4                  | 1,987.     |
|                             | 5                                                                                                                                                          | Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L                                                                                                                                               |            | 5                  |            |
|                             | 6                                                                                                                                                          | Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L |            | 6                  |            |
|                             | 7                                                                                                                                                          | Notes and loans receivable, net                                                                                                                                                                                                                                                                                   |            | 7                  |            |
|                             | 8                                                                                                                                                          | Inventories for sale or use                                                                                                                                                                                                                                                                                       |            | 8                  | 34,146.    |
|                             | 9                                                                                                                                                          | Prepaid expenses and deferred charges                                                                                                                                                                                                                                                                             | 14,086.    | 9                  | 13,266.    |
|                             | 10a                                                                                                                                                        | Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D                                                                                                                                                                                                                               | 5,169,403. |                    |            |
|                             | 10b                                                                                                                                                        | Less: accumulated depreciation                                                                                                                                                                                                                                                                                    | 4,127,501. |                    |            |
|                             |                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                   | 1,195,029. | 10c                | 1,041,902. |
|                             | 11                                                                                                                                                         | Investments - publicly traded securities                                                                                                                                                                                                                                                                          |            | 11                 |            |
|                             | 12                                                                                                                                                         | Investments - other securities. See Part IV, line 11                                                                                                                                                                                                                                                              |            | 12                 |            |
|                             | 13                                                                                                                                                         | Investments - program-related. See Part IV, line 11                                                                                                                                                                                                                                                               |            | 13                 |            |
|                             | 14                                                                                                                                                         | Intangible assets                                                                                                                                                                                                                                                                                                 |            | 14                 |            |
| 15                          | Other assets. See Part IV, line 11                                                                                                                         | 10,448.                                                                                                                                                                                                                                                                                                           | 15         | 10,448.            |            |
| 16                          | <b>Total assets.</b> Add lines 1 through 15 (must equal line 34)                                                                                           | 2,959,454.                                                                                                                                                                                                                                                                                                        | 16         | 2,769,137.         |            |
| Liabilities                 | 17                                                                                                                                                         | Accounts payable and accrued expenses                                                                                                                                                                                                                                                                             | 1,039,760. | 17                 | 907,062.   |
|                             | 18                                                                                                                                                         | Grants payable                                                                                                                                                                                                                                                                                                    |            | 18                 |            |
|                             | 19                                                                                                                                                         | Deferred revenue                                                                                                                                                                                                                                                                                                  |            | 19                 |            |
|                             | 20                                                                                                                                                         | Tax-exempt bond liabilities                                                                                                                                                                                                                                                                                       |            | 20                 |            |
|                             | 21                                                                                                                                                         | Escrow or custodial account liability. Complete Part IV of Schedule D                                                                                                                                                                                                                                             |            | 21                 |            |
|                             | 22                                                                                                                                                         | Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L                                                                                                                              |            | 22                 |            |
|                             | 23                                                                                                                                                         | Secured mortgages and notes payable to unrelated third parties                                                                                                                                                                                                                                                    |            | 23                 |            |
|                             | 24                                                                                                                                                         | Unsecured notes and loans payable to unrelated third parties                                                                                                                                                                                                                                                      |            | 24                 |            |
|                             | 25                                                                                                                                                         | Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D                                                                                                                                             | 1,405.     | 25                 | 46,613.    |
|                             | 26                                                                                                                                                         | <b>Total liabilities.</b> Add lines 17 through 25                                                                                                                                                                                                                                                                 | 1,041,165. | 26                 | 953,675.   |
| Net Assets or Fund Balances | <b>Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b> |                                                                                                                                                                                                                                                                                                                   |            |                    |            |
|                             | 27                                                                                                                                                         | Unrestricted net assets                                                                                                                                                                                                                                                                                           | 1,918,289. | 27                 | 1,815,462. |
|                             | 28                                                                                                                                                         | Temporarily restricted net assets                                                                                                                                                                                                                                                                                 |            | 28                 |            |
|                             | 29                                                                                                                                                         | Permanently restricted net assets                                                                                                                                                                                                                                                                                 |            | 29                 |            |
|                             | <b>Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.</b>                          |                                                                                                                                                                                                                                                                                                                   |            |                    |            |
|                             | 30                                                                                                                                                         | Capital stock or trust principal, or current funds                                                                                                                                                                                                                                                                |            | 30                 |            |
|                             | 31                                                                                                                                                         | Paid-in or capital surplus, or land, building, or equipment fund                                                                                                                                                                                                                                                  |            | 31                 |            |
|                             | 32                                                                                                                                                         | Retained earnings, endowment, accumulated income, or other funds                                                                                                                                                                                                                                                  |            | 32                 |            |
| 33                          | <b>Total net assets or fund balances</b>                                                                                                                   | 1,918,289.                                                                                                                                                                                                                                                                                                        | 33         | 1,815,462.         |            |
| 34                          | <b>Total liabilities and net assets/fund balances</b>                                                                                                      | 2,959,454.                                                                                                                                                                                                                                                                                                        | 34         | 2,769,137.         |            |

Form 990 (2015)

**Part XI Reconciliation of Net Assets**

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

|    |                                                                                                                |    |             |
|----|----------------------------------------------------------------------------------------------------------------|----|-------------|
| 1  | Total revenue (must equal Part VIII, column (A), line 12)                                                      | 1  | 14,958,316. |
| 2  | Total expenses (must equal Part IX, column (A), line 25)                                                       | 2  | 15,061,143. |
| 3  | Revenue less expenses. Subtract line 2 from line 1                                                             | 3  | -102,827.   |
| 4  | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))                      | 4  | 1,918,289.  |
| 5  | Net unrealized gains (losses) on investments                                                                   | 5  |             |
| 6  | Donated services and use of facilities                                                                         | 6  |             |
| 7  | Investment expenses                                                                                            | 7  |             |
| 8  | Prior period adjustments                                                                                       | 8  |             |
| 9  | Other changes in net assets or fund balances (explain in Schedule O)                                           | 9  | 0.          |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 1,815,462.  |

**Part XII Financial Statements and Reporting**

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

|                                                                                                                                                                                                                            | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other                                                                 |     |    |
| If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.                                                                                                          |     |    |
| 2a Were the organization's financial statements compiled or reviewed by an independent accountant?                                                                                                                         |     | X  |
| If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:                                                          |     |    |
| <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis                                                                          |     |    |
| b Were the organization's financial statements audited by an independent accountant?                                                                                                                                       | X   |    |
| If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:                                                                       |     |    |
| <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis                                                               |     |    |
| c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? | X   |    |
| If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.                                                                                                  |     |    |
| 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?                                                                | X   |    |
| b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits     | X   |    |

Form 990 (2015)

**SCHEDULE A**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No. 1545-0047

**2015**

**Open to Public Inspection**

Name of the organization **THE AGRICULTURAL AND LABOR PROGRAM, INC.** Employer identification number **59-1634148**

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1  A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2  A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ).)
- 3  A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4  A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: \_\_\_\_\_
- 5  An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6  A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7  An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8  A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9  An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 10  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 11  An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g.
  - a  **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b  **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c  **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d  **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e  Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
  - f Enter the number of supported organizations .....
- g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1-9 above (see instructions)) | (iv) Is the organization listed in your governing document? |    | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|------------------------------------|----------|------------------------------------------------------------------------------|-------------------------------------------------------------|----|---------------------------------------------------|-------------------------------------------------|
|                                    |          |                                                                              | Yes                                                         | No |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
|                                    |          |                                                                              |                                                             |    |                                                   |                                                 |
| <b>Total</b>                       |          |                                                                              |                                                             |    |                                                   |                                                 |

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

| Calendar year (or fiscal year beginning in) ▶                                                                                                                                                               | (a) 2011    | (b) 2012    | (c) 2013    | (d) 2014    | (e) 2015    | (f) Total   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....                                                                                                  | 18,707,209. | 15,916,595. | 15,651,240. | 15,236,019. | 14,920,213. | 80,431,276. |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....                                                                                                     |             |             |             |             |             |             |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge .....                                                                                             |             |             |             |             |             |             |
| 4 <b>Total.</b> Add lines 1 through 3 .....                                                                                                                                                                 | 18,707,209. | 15,916,595. | 15,651,240. | 15,236,019. | 14,920,213. | 80,431,276. |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) ..... |             |             |             |             |             |             |
| 6 <b>Public support.</b> Subtract line 5 from line 4.                                                                                                                                                       |             |             |             |             |             | 80,431,276. |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ▶                                                                                                                                                        | (a) 2011                 | (b) 2012    | (c) 2013    | (d) 2014    | (e) 2015    | (f) Total   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------|-------------|-------------|-------------|-------------|
| 7 Amounts from line 4 .....                                                                                                                                                                          | 18,707,209.              | 15,916,595. | 15,651,240. | 15,236,019. | 14,920,213. | 80,431,276. |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources .....                                                               | 1,868.                   | 641.        | 1,010.      | 2,735.      | 606.        | 6,860.      |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on .....                                                                                           |                          |             |             |             |             |             |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....                                                                                             | 24,314.                  | 21,112.     | 40,606.     | 30,163.     | 37,415.     | 153,610.    |
| 11 <b>Total support.</b> Add lines 7 through 10 .....                                                                                                                                                |                          |             |             |             |             | 80,591,746. |
| 12 Gross receipts from related activities, etc. (see instructions) .....                                                                                                                             |                          |             |             |             | 12          | 109,022.    |
| 13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> ..... | <input type="checkbox"/> |             |             |             |             |             |

**Section C. Computation of Public Support Percentage**

|                                                                                                                                                                                                                                                                                                                                                                                                                     |                                     |       |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------|---|
| 14 Public support percentage for 2015 (line 6, column (f) divided by line 11, column (f)) .....                                                                                                                                                                                                                                                                                                                     | 14                                  | 99.80 | % |
| 15 Public support percentage from 2014 Schedule A, Part II, line 14 .....                                                                                                                                                                                                                                                                                                                                           | 15                                  | 99.82 | % |
| 16a <b>33 1/3% support test - 2015.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....                                                                                                                                                                            | <input checked="" type="checkbox"/> |       |   |
| b <b>33 1/3% support test - 2014.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization .....                                                                                                                                                                         | <input type="checkbox"/>            |       |   |
| 17a <b>10% -facts-and-circumstances test - 2015.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization .....    | <input type="checkbox"/>            |       |   |
| b <b>10% -facts-and-circumstances test - 2014.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ..... | <input type="checkbox"/>            |       |   |
| 18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions .....                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            |       |   |

Schedule A (Form 990 or 990-EZ) 2015

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

| Calendar year (or fiscal year beginning in) ►                                                                                                                                           | (a) 2011 | (b) 2012 | (c) 2013 | (d) 2014 | (e) 2015 | (f) Total |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .....                                                                       |          |          |          |          |          |           |
| <b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose ..... |          |          |          |          |          |           |
| <b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 .....                                                                             |          |          |          |          |          |           |
| <b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf .....                                                                          |          |          |          |          |          |           |
| <b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge .....                                                                  |          |          |          |          |          |           |
| <b>6 Total.</b> Add lines 1 through 5 .....                                                                                                                                             |          |          |          |          |          |           |
| <b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons .....                                                                                                |          |          |          |          |          |           |
| <b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year .....           |          |          |          |          |          |           |
| <b>c</b> Add lines 7a and 7b .....                                                                                                                                                      |          |          |          |          |          |           |
| <b>8 Public support.</b> (Subtract line 7c from line 6.) .....                                                                                                                          |          |          |          |          |          |           |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►                                                                                                   | (a) 2011 | (b) 2012 | (c) 2013 | (d) 2014 | (e) 2015 | (f) Total |
|-------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| <b>9</b> Amounts from line 6 .....                                                                                                              |          |          |          |          |          |           |
| <b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources ..... |          |          |          |          |          |           |
| <b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 .....                          |          |          |          |          |          |           |
| <b>c</b> Add lines 10a and 10b .....                                                                                                            |          |          |          |          |          |           |
| <b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on .....     |          |          |          |          |          |           |
| <b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) .....                                 |          |          |          |          |          |           |
| <b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.) .....                                                                                  |          |          |          |          |          |           |

**14 First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**

**Section C. Computation of Public Support Percentage**

|                                                                                                        |           |   |
|--------------------------------------------------------------------------------------------------------|-----------|---|
| <b>15</b> Public support percentage for 2015 (line 8, column (f) divided by line 13, column (f)) ..... | <b>15</b> | % |
| <b>16</b> Public support percentage from 2014 Schedule A, Part III, line 15 .....                      | <b>16</b> | % |

**Section D. Computation of Investment Income Percentage**

|                                                                                                             |           |   |
|-------------------------------------------------------------------------------------------------------------|-----------|---|
| <b>17</b> Investment income percentage for 2015 (line 10c, column (f) divided by line 13, column (f)) ..... | <b>17</b> | % |
| <b>18</b> Investment income percentage from 2014 Schedule A, Part III, line 17 .....                        | <b>18</b> | % |

**19a 33 1/3% support tests - 2015.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

**b 33 1/3% support tests - 2014.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

**20 Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

**Part IV Supporting Organizations**

(Complete only if you checked a box in line 11 on Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No" describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>                                                                                                                                                                                                                 |     |    |
| <b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>                                                                                                                                                                                                                                             |     |    |
| <b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>                                                                                                                                                                                                                                                                                                                                                                                       |     |    |
| <b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>                                                                                                                                                                                                                                                           |     |    |
| <b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>                                                                                                                                                                                                                                                                                                    |     |    |
| <b>4a</b> Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 11a or 11b in Part I, answer (b) and (c) below.</i>                                                                                                                                                                                                                                                                                                                                        |     |    |
| <b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>                                                                                                                                                                                                        |     |    |
| <b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>                                                                                                                                                                           |     |    |
| <b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i> |     |    |
| <b>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?                                                                                                                                                                                                                                                                                                                                                                  |     |    |
| <b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?                                                                                                                                                                                                                                                                                                                                                                                                                         |     |    |
| <b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>                                                          |     |    |
| <b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>                                                                                                                                                                                       |     |    |
| <b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>                                                                                                                                                                                                                                                                                                                                              |     |    |
| <b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>                                                                                                                                                                                                                                      |     |    |
| <b>b</b> Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>                                                                                                                                                                                                                                                                                                                          |     |    |
| <b>c</b> Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>                                                                                                                                                                                                                                                                                               |     |    |
| <b>10a</b> Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i>                                                                                                                                                                                                                                                   |     |    |
| <b>b</b> Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>                                                                                                                                                                                                                                                                                                                                                   |     |    |

**Part IV Supporting Organizations** (continued)

|                                                                                                                                                                       | Yes | No |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 11 Has the organization accepted a gift or contribution from any of the following persons?                                                                            |     |    |
| a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization? |     |    |
| 11a                                                                                                                                                                   |     |    |
| b A family member of a person described in (a) above?                                                                                                                 |     |    |
| 11b                                                                                                                                                                   |     |    |
| c A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI.                                               |     |    |
| 11c                                                                                                                                                                   |     |    |

**Section B. Type I Supporting Organizations**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Yes | No |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year. |     |    |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |     |    |
| 2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.                                                                                                                                                                                                                                                                             |     |    |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |     |    |

**Section C. Type II Supporting Organizations**

|                                                                                                                                                                                                                                                                                                                                                                        | Yes | No |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s). |     |    |
| 1                                                                                                                                                                                                                                                                                                                                                                      |     |    |

**Section D. All Type III Supporting Organizations**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? |     |    |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |     |    |
| 2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).                                                                                                                              |     |    |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |     |    |
| 3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.                                                                                                 |     |    |
| 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |     |    |

**Section E. Type III Functionally-Integrated Supporting Organizations**

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year(see instructions):

a  The organization satisfied the Activities Test. Complete line 2 below.

b  The organization is the parent of each of its supported organizations. Complete line 3 below.

c  The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).

2 Activities Test. Answer (a) and (b) below.

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities. |     |    |
| 2a                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |     |    |
| b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.                                                                                                                              |     |    |
| 2b                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |     |    |
| 3 Parent of Supported Organizations. Answer (a) and (b) below.                                                                                                                                                                                                                                                                                                                                                                                                                                                            |     |    |
| a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.                                                                                                                                                                                                                                                                                                                                |     |    |
| 3a                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |     |    |
| b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard.                                                                                                                                                                                                                                                                                   |     |    |
| 3b                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |     |    |

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

1  Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970. See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

| Section A - Adjusted Net Income |                                                                                                                                                                                                          | (A) Prior Year | (B) Current Year (optional) |
|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|-----------------------------|
| 1                               | Net short-term capital gain                                                                                                                                                                              | 1              |                             |
| 2                               | Recoveries of prior-year distributions                                                                                                                                                                   | 2              |                             |
| 3                               | Other gross income (see instructions)                                                                                                                                                                    | 3              |                             |
| 4                               | Add lines 1 through 3                                                                                                                                                                                    | 4              |                             |
| 5                               | Depreciation and depletion                                                                                                                                                                               | 5              |                             |
| 6                               | Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) | 6              |                             |
| 7                               | Other expenses (see instructions)                                                                                                                                                                        | 7              |                             |
| 8                               | <b>Adjusted Net Income</b> (subtract lines 5, 6 and 7 from line 4)                                                                                                                                       | 8              |                             |

| Section B - Minimum Asset Amount |                                                                                                                                 | (A) Prior Year | (B) Current Year (optional) |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------|----------------|-----------------------------|
| 1                                | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): |                |                             |
| a                                | Average monthly value of securities                                                                                             | 1a             |                             |
| b                                | Average monthly cash balances                                                                                                   | 1b             |                             |
| c                                | Fair market value of other non-exempt-use assets                                                                                | 1c             |                             |
| d                                | <b>Total</b> (add lines 1a, 1b, and 1c)                                                                                         | 1d             |                             |
| e                                | <b>Discount</b> claimed for blockage or other factors (explain in detail in Part VI):                                           |                |                             |
| 2                                | Acquisition indebtedness applicable to non-exempt-use assets                                                                    | 2              |                             |
| 3                                | Subtract line 2 from line 1d                                                                                                    | 3              |                             |
| 4                                | Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).                                 | 4              |                             |
| 5                                | Net value of non-exempt-use assets (subtract line 4 from line 3)                                                                | 5              |                             |
| 6                                | Multiply line 5 by .035                                                                                                         | 6              |                             |
| 7                                | Recoveries of prior-year distributions                                                                                          | 7              |                             |
| 8                                | <b>Minimum Asset Amount</b> (add line 7 to line 6)                                                                              | 8              |                             |

| Section C - Distributable Amount |                                                                                                                              |   | Current Year |
|----------------------------------|------------------------------------------------------------------------------------------------------------------------------|---|--------------|
| 1                                | Adjusted net income for prior year (from Section A, line 8, Column A)                                                        | 1 |              |
| 2                                | Enter 85% of line 1                                                                                                          | 2 |              |
| 3                                | Minimum asset amount for prior year (from Section B, line 8, Column A)                                                       | 3 |              |
| 4                                | Enter greater of line 2 or line 3                                                                                            | 4 |              |
| 5                                | Income tax imposed in prior year                                                                                             | 5 |              |
| 6                                | <b>Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | 6 |              |

7  Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions).

| <b>Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations</b> <i>(continued)</i> |                                                                                                                                                     |                                                 |                                                    |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------|
| <b>Section D - Distributions</b>                                                                         |                                                                                                                                                     |                                                 | <b>Current Year</b>                                |
| 1                                                                                                        | Amounts paid to supported organizations to accomplish exempt purposes                                                                               |                                                 |                                                    |
| 2                                                                                                        | Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity               |                                                 |                                                    |
| 3                                                                                                        | Administrative expenses paid to accomplish exempt purposes of supported organizations                                                               |                                                 |                                                    |
| 4                                                                                                        | Amounts paid to acquire exempt-use assets                                                                                                           |                                                 |                                                    |
| 5                                                                                                        | Qualified set-aside amounts (prior IRS approval required)                                                                                           |                                                 |                                                    |
| 6                                                                                                        | Other distributions (describe in <b>Part VI</b> ). See instructions.                                                                                |                                                 |                                                    |
| 7                                                                                                        | <b>Total annual distributions.</b> Add lines 1 through 6.                                                                                           |                                                 |                                                    |
| 8                                                                                                        | Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ). See instructions.  |                                                 |                                                    |
| 9                                                                                                        | Distributable amount for 2015 from Section C, line 6                                                                                                |                                                 |                                                    |
| 10                                                                                                       | Line 8 amount divided by Line 9 amount                                                                                                              |                                                 |                                                    |
| <b>Section E - Distribution Allocations (see instructions)</b>                                           | <b>(i)<br/>Excess Distributions</b>                                                                                                                 | <b>(ii)<br/>Underdistributions<br/>Pre-2015</b> | <b>(iii)<br/>Distributable<br/>Amount for 2015</b> |
| 1                                                                                                        | Distributable amount for 2015 from Section C, line 6                                                                                                |                                                 |                                                    |
| 2                                                                                                        | Underdistributions, if any, for years prior to 2015 (reasonable cause required-see instructions)                                                    |                                                 |                                                    |
| 3                                                                                                        | Excess distributions carryover, if any, to 2015:                                                                                                    |                                                 |                                                    |
| a                                                                                                        |                                                                                                                                                     |                                                 |                                                    |
| b                                                                                                        |                                                                                                                                                     |                                                 |                                                    |
| c                                                                                                        |                                                                                                                                                     |                                                 |                                                    |
| d                                                                                                        | From 2013                                                                                                                                           |                                                 |                                                    |
| e                                                                                                        | From 2014                                                                                                                                           |                                                 |                                                    |
| f                                                                                                        | <b>Total</b> of lines 3a through e                                                                                                                  |                                                 |                                                    |
| g                                                                                                        | Applied to underdistributions of prior years                                                                                                        |                                                 |                                                    |
| h                                                                                                        | Applied to 2015 distributable amount                                                                                                                |                                                 |                                                    |
| i                                                                                                        | Carryover from 2010 not applied (see instructions)                                                                                                  |                                                 |                                                    |
| j                                                                                                        | Remainder. Subtract lines 3g, 3h, and 3i from 3f.                                                                                                   |                                                 |                                                    |
| 4                                                                                                        | Distributions for 2015 from Section D, line 7: \$                                                                                                   |                                                 |                                                    |
| a                                                                                                        | Applied to underdistributions of prior years                                                                                                        |                                                 |                                                    |
| b                                                                                                        | Applied to 2015 distributable amount                                                                                                                |                                                 |                                                    |
| c                                                                                                        | Remainder. Subtract lines 4a and 4b from 4.                                                                                                         |                                                 |                                                    |
| 5                                                                                                        | Remaining underdistributions for years prior to 2015, if any. Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions). |                                                 |                                                    |
| 6                                                                                                        | Remaining underdistributions for 2015. Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions).                        |                                                 |                                                    |
| 7                                                                                                        | <b>Excess distributions carryover to 2016.</b> Add lines 3j and 4c.                                                                                 |                                                 |                                                    |
| 8                                                                                                        | Breakdown of line 7:                                                                                                                                |                                                 |                                                    |
| a                                                                                                        |                                                                                                                                                     |                                                 |                                                    |
| b                                                                                                        |                                                                                                                                                     |                                                 |                                                    |
| c                                                                                                        | Excess from 2013                                                                                                                                    |                                                 |                                                    |
| d                                                                                                        | Excess from 2014                                                                                                                                    |                                                 |                                                    |
| e                                                                                                        | Excess from 2015                                                                                                                                    |                                                 |                                                    |

**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Multiple horizontal lines for supplemental information.

**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.  
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and  
its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990) .

OMB No. 1545-0047

**2015**

Name of the organization

THE AGRICULTURAL AND LABOR PROGRAM, INC.

Employer identification number

59-1634148

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

501(c)( 3 ) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ..... ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2015)

|                                                                         |                                                     |
|-------------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization<br><b>THE AGRICULTURAL AND LABOR PROGRAM, INC.</b> | Employer identification number<br><b>59-1634148</b> |
|-------------------------------------------------------------------------|-----------------------------------------------------|

**Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                                                               | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|------------|---------------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | <u>FLORIDA PARTNERSHIP FOR SCHOOL READINESS</u><br><br><u>600 SOUTH CALHOUN STREET</u><br><br><u>TALLAHASSEE, FL 32399-7000</u> | \$ <u>1,007,877.</u>       | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.) |
| 2          | <u>STATE OF FLORIDA - COMMUNITY AFFAIRS</u><br><br><u>2555 SHUMARD OAK BOULEVARD</u><br><br><u>TALLAHASSEE, FL 32399-2100</u>   | \$ <u>5,719,368.</u>       | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.) |
| 3          | <u>U.S. DEPT. OF HEALTH AND HUMAN SERVICES</u><br><br><u>200 INDEPENDENCE AVENUE S.W.</u><br><br><u>WASHINGTON, DC 20201</u>    | \$ <u>7,978,492.</u>       | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.) |
| —          | _____<br>_____<br>_____<br>_____                                                                                                | \$ _____                   | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
| —          | _____<br>_____<br>_____<br>_____                                                                                                | \$ _____                   | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
| —          | _____<br>_____<br>_____<br>_____                                                                                                | \$ _____                   | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |

|                                                                         |                                                     |
|-------------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization<br><b>THE AGRICULTURAL AND LABOR PROGRAM, INC.</b> | Employer identification number<br><b>59-1634148</b> |
|-------------------------------------------------------------------------|-----------------------------------------------------|

**Part II Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

| (a)<br>No.<br>from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|------------------------------|----------------------------------------------|------------------------------------------------|----------------------|
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |
| _____                        | _____<br>_____<br>_____                      | \$ _____                                       | _____                |

|                                                                         |                                                     |
|-------------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization<br><b>THE AGRICULTURAL AND LABOR PROGRAM, INC.</b> | Employer identification number<br><b>59-1634148</b> |
|-------------------------------------------------------------------------|-----------------------------------------------------|

**Part III** Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info. once.) ▶ \$ \_\_\_\_\_  
Use duplicate copies of Part III if additional space is needed.

|                                         |                     |                                          |                                     |
|-----------------------------------------|---------------------|------------------------------------------|-------------------------------------|
| (a) No. from Part I                     | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
|                                         | _____               | _____                                    | _____                               |
|                                         | _____               | _____                                    | _____                               |
| (e) Transfer of gift                    |                     |                                          |                                     |
| Transferee's name, address, and ZIP + 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| (a) No. from Part I                     | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
|                                         | _____               | _____                                    | _____                               |
|                                         | _____               | _____                                    | _____                               |
| (e) Transfer of gift                    |                     |                                          |                                     |
| Transferee's name, address, and ZIP + 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| (a) No. from Part I                     | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
|                                         | _____               | _____                                    | _____                               |
|                                         | _____               | _____                                    | _____                               |
| (e) Transfer of gift                    |                     |                                          |                                     |
| Transferee's name, address, and ZIP + 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| (a) No. from Part I                     | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
|                                         | _____               | _____                                    | _____                               |
|                                         | _____               | _____                                    | _____                               |
| (e) Transfer of gift                    |                     |                                          |                                     |
| Transferee's name, address, and ZIP + 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |
| _____                                   |                     | _____                                    |                                     |

**SCHEDULE D**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Financial Statements**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.  
▶ Attach to Form 990.

OMB No. 1545-0047

**2015**

Open to Public Inspection

▶ Information about Schedule D (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization **THE AGRICULTURAL AND LABOR PROGRAM, INC.** Employer identification number **59-1634148**

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

|                                                                                                                                                                                                                                                                             | (a) Donor advised funds      | (b) Funds and other accounts |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|------------------------------|
| 1 Total number at end of year .....                                                                                                                                                                                                                                         |                              |                              |
| 2 Aggregate value of contributions to (during year) .....                                                                                                                                                                                                                   |                              |                              |
| 3 Aggregate value of grants from (during year) .....                                                                                                                                                                                                                        |                              |                              |
| 4 Aggregate value at end of year .....                                                                                                                                                                                                                                      |                              |                              |
| 5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? .....                                                            | <input type="checkbox"/> Yes | <input type="checkbox"/> No  |
| 6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ..... | <input type="checkbox"/> Yes | <input type="checkbox"/> No  |

**Part II Conservation Easements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

Preservation of land for public use (e.g., recreation or education)     Preservation of a historically important land area

Protection of natural habitat     Preservation of a certified historic structure

Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

|                                                                                                                                                  | Held at the End of the Tax Year |
|--------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|
| a Total number of conservation easements .....                                                                                                   | 2a                              |
| b Total acreage restricted by conservation easements .....                                                                                       | 2b                              |
| c Number of conservation easements on a certified historic structure included in (a) .....                                                       | 2c                              |
| d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register ..... | 2d                              |

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ \_\_\_\_\_

4 Number of states where property subject to conservation easement is located ▶ \_\_\_\_\_

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? .....

Yes     No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \_\_\_\_\_

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ \_\_\_\_\_

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? .....

Yes     No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 .....

▶ \$ \_\_\_\_\_

(ii) Assets included in Form 990, Part X .....

▶ \$ \_\_\_\_\_

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1 .....

▶ \$ \_\_\_\_\_

b Assets included in Form 990, Part X .....

▶ \$ \_\_\_\_\_

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2015

532051  
11-02-15

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** (continued)

- 3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a  Public exhibition
  - b  Scholarly research
  - c  Preservation for future generations
  - d  Loan or exchange programs
  - e  Other \_\_\_\_\_
- 4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?  Yes  No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?  Yes  No
- b If "Yes," explain the arrangement in Part XIII and complete the following table:
- |                                 | Amount |
|---------------------------------|--------|
| c Beginning balance             | 1c     |
| d Additions during the year     | 1d     |
| e Distributions during the year | 1e     |
| f Ending balance                | 1f     |
- 2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?  Yes  No
- b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

**Part V Endowment Funds.** Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

|                                                  | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|--------------------------------------------------|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance                     |                  |                |                    |                      |                     |
| b Contributions                                  |                  |                |                    |                      |                     |
| c Net investment earnings, gains, and losses     |                  |                |                    |                      |                     |
| d Grants or scholarships                         |                  |                |                    |                      |                     |
| e Other expenditures for facilities and programs |                  |                |                    |                      |                     |
| f Administrative expenses                        |                  |                |                    |                      |                     |
| g End of year balance                            |                  |                |                    |                      |                     |

- 2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a Board designated or quasi-endowment  \_\_\_\_\_ %
  - b Permanent endowment  \_\_\_\_\_ %
  - c Temporarily restricted endowment  \_\_\_\_\_ %
- The percentages on lines 2a, 2b, and 2c should equal 100%.
- 3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:
- |                                                                                            | Yes    | No |
|--------------------------------------------------------------------------------------------|--------|----|
| (i) unrelated organizations                                                                | 3a(i)  |    |
| (ii) related organizations                                                                 | 3a(ii) |    |
| b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? | 3b     |    |
- 4 Describe in Part XIII the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.** Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property                                                                                | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value    |
|--------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------|------------------------------|-------------------|
| 1a Land                                                                                                |                                      | 545,000.                        |                              | 545,000.          |
| b Buildings                                                                                            |                                      | 2,671,510.                      | 2,381,429.                   | 290,081.          |
| c Leasehold improvements                                                                               |                                      | 240,058.                        | 167,735.                     | 72,323.           |
| d Equipment                                                                                            |                                      | 1,472,868.                      | 1,348,199.                   | 124,669.          |
| e Other                                                                                                |                                      | 239,967.                        | 230,138.                     | 9,829.            |
| <b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) |                                      |                                 |                              | <b>1,041,902.</b> |

**Part VII Investments - Other Securities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security)    | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|-------------------------------------------------------------------------|----------------|-----------------------------------------------------------|
| (1) Financial derivatives                                               |                |                                                           |
| (2) Closely-held equity interests                                       |                |                                                           |
| (3) Other                                                               |                |                                                           |
| (A)                                                                     |                |                                                           |
| (B)                                                                     |                |                                                           |
| (C)                                                                     |                |                                                           |
| (D)                                                                     |                |                                                           |
| (E)                                                                     |                |                                                           |
| (F)                                                                     |                |                                                           |
| (G)                                                                     |                |                                                           |
| (H)                                                                     |                |                                                           |
| <b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 12.) |                |                                                           |

**Part VIII Investments - Program Related.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment                                           | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|-------------------------------------------------------------------------|----------------|-----------------------------------------------------------|
| (1)                                                                     |                |                                                           |
| (2)                                                                     |                |                                                           |
| (3)                                                                     |                |                                                           |
| (4)                                                                     |                |                                                           |
| (5)                                                                     |                |                                                           |
| (6)                                                                     |                |                                                           |
| (7)                                                                     |                |                                                           |
| (8)                                                                     |                |                                                           |
| (9)                                                                     |                |                                                           |
| <b>Total.</b> (Col. (b) must equal Form 990, Part X, col. (B) line 13.) |                |                                                           |

**Part IX Other Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

| (a) Description                                                           | (b) Book value |
|---------------------------------------------------------------------------|----------------|
| (1)                                                                       |                |
| (2)                                                                       |                |
| (3)                                                                       |                |
| (4)                                                                       |                |
| (5)                                                                       |                |
| (6)                                                                       |                |
| (7)                                                                       |                |
| (8)                                                                       |                |
| (9)                                                                       |                |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.) |                |

**Part X Other Liabilities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

| 1. (a) Description of liability                                           | (b) Book value |
|---------------------------------------------------------------------------|----------------|
| (1) Federal income taxes                                                  |                |
| (2) <b>REFUNDABLE ADVANCES</b>                                            | <b>46,613.</b> |
| (3)                                                                       |                |
| (4)                                                                       |                |
| (5)                                                                       |                |
| (6)                                                                       |                |
| (7)                                                                       |                |
| (8)                                                                       |                |
| (9)                                                                       |                |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) | <b>46,613.</b> |

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

|   |                                                                                 |    |            |             |
|---|---------------------------------------------------------------------------------|----|------------|-------------|
| 1 | Total revenue, gains, and other support per audited financial statements        |    | 1          | 16,270,595. |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12:             |    |            |             |
| a | Net unrealized gains (losses) on investments                                    | 2a |            |             |
| b | Donated services and use of facilities                                          | 2b | 1,289,522. |             |
| c | Recoveries of prior year grants                                                 | 2c |            |             |
| d | Other (Describe in Part XIII.)                                                  | 2d | 22,757.    |             |
| e | Add lines 2a through 2d                                                         |    | 2e         | 1,312,279.  |
| 3 | Subtract line 2e from line 1                                                    |    | 3          | 14,958,316. |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1:            |    |            |             |
| a | Investment expenses not included on Form 990, Part VIII, line 7b                | 4a |            |             |
| b | Other (Describe in Part XIII.)                                                  | 4b |            |             |
| c | Add lines 4a and 4b                                                             |    | 4c         | 0.          |
| 5 | Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.) |    | 5          | 14,958,316. |

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

|   |                                                                                  |    |            |             |
|---|----------------------------------------------------------------------------------|----|------------|-------------|
| 1 | Total expenses and losses per audited financial statements                       |    | 1          | 16,373,422. |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25:                |    |            |             |
| a | Donated services and use of facilities                                           | 2a | 1,289,522. |             |
| b | Prior year adjustments                                                           | 2b |            |             |
| c | Other losses                                                                     | 2c |            |             |
| d | Other (Describe in Part XIII.)                                                   | 2d | 22,757.    |             |
| e | Add lines 2a through 2d                                                          |    | 2e         | 1,312,279.  |
| 3 | Subtract line 2e from line 1                                                     |    | 3          | 15,061,143. |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1:               |    |            |             |
| a | Investment expenses not included on Form 990, Part VIII, line 7b                 | 4a |            |             |
| b | Other (Describe in Part XIII.)                                                   | 4b |            |             |
| c | Add lines 4a and 4b                                                              |    | 4c         | 0.          |
| 5 | Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.) |    | 5          | 15,061,143. |

**Part XIII Supplemental Information.**

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

**PART X, LINE 2:**

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.

**Part XIII** Supplemental Information (continued)

PART XI, LINE 2D - OTHER ADJUSTMENTS:

LOSS ON DISPOSAL OF FIXED ASSETS 22,757.

PART XII, LINE 2D - OTHER ADJUSTMENTS:

LOSS ON DISPOSAL OF FIXED ASSETS 22,757.



**Part II Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

|                 |    | (a) Event #1                                                 | (b) Event #2 | (c) Other events              | (d) Total events<br>(add col. (a) through col. (c)) |
|-----------------|----|--------------------------------------------------------------|--------------|-------------------------------|-----------------------------------------------------|
|                 |    | <b>ANNUAL MEETING</b><br>(event type)                        | (event type) | <b>NONE</b><br>(total number) |                                                     |
| Revenue         | 1  | Gross receipts                                               | 36,739.      |                               | 36,739.                                             |
|                 | 2  | Less: Contributions                                          |              |                               |                                                     |
|                 | 3  | Gross income (line 1 minus line 2)                           | 36,739.      |                               | 36,739.                                             |
| Direct Expenses | 4  | Cash prizes                                                  |              |                               |                                                     |
|                 | 5  | Noncash prizes                                               |              |                               |                                                     |
|                 | 6  | Rent/facility costs                                          |              |                               |                                                     |
|                 | 7  | Food and beverages                                           |              |                               |                                                     |
|                 | 8  | Entertainment                                                |              |                               |                                                     |
|                 | 9  | Other direct expenses                                        |              |                               |                                                     |
|                 | 10 | Direct expense summary. Add lines 4 through 9 in column (d)  |              |                               |                                                     |
|                 | 11 | Net income summary. Subtract line 10 from line 3, column (d) |              |                               | 36,739.                                             |

**Part III Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

|                 |   | (a) Bingo                                                          | (b) Pull tabs/instant bingo/progressive bingo                       | (c) Other gaming                                                    | (d) Total gaming (add col. (a) through col. (c))                    |
|-----------------|---|--------------------------------------------------------------------|---------------------------------------------------------------------|---------------------------------------------------------------------|---------------------------------------------------------------------|
|                 |   |                                                                    |                                                                     |                                                                     |                                                                     |
| Revenue         | 1 | Gross revenue                                                      |                                                                     |                                                                     |                                                                     |
| Direct Expenses | 2 | Cash prizes                                                        |                                                                     |                                                                     |                                                                     |
|                 | 3 | Noncash prizes                                                     |                                                                     |                                                                     |                                                                     |
|                 | 4 | Rent/facility costs                                                |                                                                     |                                                                     |                                                                     |
|                 | 5 | Other direct expenses                                              |                                                                     |                                                                     |                                                                     |
|                 | 6 | Volunteer labor                                                    | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No |
|                 | 7 | Direct expense summary. Add lines 2 through 5 in column (d)        |                                                                     |                                                                     |                                                                     |
|                 | 8 | Net gaming income summary. Subtract line 7 from line 1, column (d) |                                                                     |                                                                     |                                                                     |

9 Enter the state(s) in which the organization conducts gaming activities: \_\_\_\_\_  
 a Is the organization licensed to conduct gaming activities in each of these states?  Yes  No  
 b If "No," explain: \_\_\_\_\_

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year?  Yes  No  
 b If "Yes," explain: \_\_\_\_\_





**SCHEDULE I  
(Form 990)**

**Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States**

Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

Department of the Treasury  
Internal Revenue Service

▶ Attach to Form 990.

▶ Information about Schedule I (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

**THE AGRICULTURAL AND LABOR PROGRAM, INC.**

**Part I** General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and criteria used to award the grants or assistance? .....
- 2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

**Part II** Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22. Part II can be duplicated if additional space is needed.

| 1 (a) Name and address of organization or government                                           | (b) EIN    | (c) IRC section if applicable | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of non-cash assistance |
|------------------------------------------------------------------------------------------------|------------|-------------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|----------------------------------------|
| LOVING CARE CHILD DEV. CENTER, INC<br>1207 SOUTH 28TH STREET<br>FT. PIERCE, FL 34947           | 59-2007570 | 501(C)(3)                     | 53,509.                  | 0.                                |                                                       |                                        |
| SUNRISE COUNTRY PRESCHOOL<br>2706 SUNRISE BLVD.<br>FT. PIERCE, FL 34982                        | 65-0031584 | 501(C)(3)                     | 53,509.                  | 0.                                |                                                       |                                        |
| JUMPSTART DEVELOPMENT CENTER<br>1068 PINE AVENUE<br>LAKE WALES, FL 33853                       | 80-0339886 | 501(C)(3)                     | 133,412.                 | 0.                                |                                                       |                                        |
| LEARNING TREE ACADEMY, INC.<br>752 BENTCREEK DR.<br>FT. PIERCE, FL 34947                       | 65-0215212 | 501(C)(3)                     | 68,424.                  | 0.                                |                                                       |                                        |
| WOMENS RESOURCE CENTER OF FLORIDA<br>165 AVENUE A, NW<br>WINTER HAVEN, FL 33881                | 59-2344584 | 501(C)(3)                     | 12,631.                  | 0.                                |                                                       |                                        |
| BIG BROTHERS BIG SISTER OF THE SUN<br>COAST - 1000 TAMIMI TRAIL, SUITE C<br>- VENICE, FL 34285 | 59-1361826 | 501(C)(3)                     | 28,200.                  | 0.                                |                                                       |                                        |

- 2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table .....
- 3 Enter total number of other organizations listed in the line 1 table .....

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule I (Form 990) **THE AGRICULTURAL AND LABOR PROGRAM, INC.**

| <b>Part II</b> Continuation of Grants and Other Assistance to Governments and Organizations in the United States (Schedule I (Form 990), Part II.) |            |                               |                          |                                   |                                                       |                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|----------------------|
| (a) Name and address of organization or government                                                                                                 | (b) EIN    | (c) IRC section if applicable | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Descr non-cash a |
| BOYS & GIRLS CLUBS OF LAKELAND, INC. - POST OFFICE BOX 763 - LAKELAND, FL 33802                                                                    | 59-0171815 | 501(C)(3)                     | 25,600.                  | 0.                                |                                                       |                      |
| CENTER FOR INDEPENDENT LIVING IN CENTRAL FLORIDA, - 720 NORTH DENNING DRIVE - WINTER PARK, FL 32789                                                | 59-1828770 | 501(C)(3)                     | 21,470.                  | 0.                                |                                                       |                      |
| THE SALVATION ARMY<br>P.O. BOX 218<br>LABELLE, FL 33975                                                                                            | 58-0660607 | 501(C)(3)                     | 6,303.                   | 0.                                |                                                       |                      |
| GOODWILL INDUSTRIES OF SOUTHWEST FLORIDA, INC - 5100 TICE ST - FT. MYERS, FL 33905                                                                 | 59-6196141 | 501(C)(3)                     | 17,620.                  | 0.                                |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |
|                                                                                                                                                    |            |                               |                          |                                   |                                                       |                      |

**THE AGRICULTURAL AND LABOR PROGRAM, INC.**

**Part III** **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.  
Part III can be duplicated if additional space is needed.

| (a) Type of grant or assistance                                                                                          | (b) Number of recipients | (c) Amount of cash grant | (d) Amount of non-cash assistance | (e) Method of valuation (book, FMV, appraisal, other) |
|--------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|
| ASSISTANCE TO FARM WORKERS - EMERGENCY ASSISTANCE, RENTS, FOOD, UTILITIES, ASSESSMENT, LITERACY, HOUSING COUNSELING, ETC | 0                        | 3,749,199.               | 0.                                |                                                       |
|                                                                                                                          |                          |                          |                                   |                                                       |
|                                                                                                                          |                          |                          |                                   |                                                       |
|                                                                                                                          |                          |                          |                                   |                                                       |
|                                                                                                                          |                          |                          |                                   |                                                       |

**Part IV** **Supplemental Information.** Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

**PART I, LINE 2:**

ALL SUBGRANTS ARE ADMINISTERED THROUGH SUBGRANTEE CONTRACTS WHICH SPECIFY THE REQUIREMENTS AND PROCEDURES FOR SERVICES, RECORD KEEPING, AND INVOICE DOCUMENTATION FOR REIMBURSEMENT. NO PAYMENTS ARE MADE WITHOUT THE PROPER DOCUMENTATION. ON-SITE REVIEWS ARE DONE BY THE ORGANIZATION'S PROGRAM STAFF TO VERIFY COMPLIANCE.

**SCHEDULE J  
(Form 990)**

**Compensation Information**

OMB No. 1545-0047

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

**2015**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.

▶ Attach to Form 990.

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

▶ Information about Schedule J (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

**THE AGRICULTURAL AND LABOR PROGRAM, INC.**

Employer identification number

**59-1634148**

**Part I Questions Regarding Compensation**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Yes       | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----|
| <b>1a</b> Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.<br><input type="checkbox"/> First-class or charter travel<br><input type="checkbox"/> Travel for companions<br><input type="checkbox"/> Tax indemnification and gross-up payments<br><input type="checkbox"/> Discretionary spending account<br><input type="checkbox"/> Housing allowance or residence for personal use<br><input type="checkbox"/> Payments for business use of personal residence<br><input type="checkbox"/> Health or social club dues or initiation fees<br><input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |           |    |
| <b>b</b> If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>1b</b> |    |
| <b>2</b> Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked in line 1a? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>2</b>  |    |
| <b>3</b> Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.<br><input type="checkbox"/> Compensation committee<br><input type="checkbox"/> Independent compensation consultant<br><input type="checkbox"/> Form 990 of other organizations<br><input type="checkbox"/> Written employment contract<br><input type="checkbox"/> Compensation survey or study<br><input type="checkbox"/> Approval by the board or compensation committee                                                                                       |           |    |
| <b>4</b> During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |    |
| <b>a</b> Receive a severance payment or change-of-control payment? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>4a</b> | X  |
| <b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>4b</b> | X  |
| <b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>4c</b> | X  |
| If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |    |
| <b>Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |           |    |
| <b>5</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |           |    |
| <b>a</b> The organization? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>5a</b> | X  |
| <b>b</b> Any related organization? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>5b</b> | X  |
| If "Yes" to line 5a or 5b, describe in Part III.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |           |    |
| <b>6</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |    |
| <b>a</b> The organization? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>6a</b> | X  |
| <b>b</b> Any related organization? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>6b</b> | X  |
| If "Yes" on line 6a or 6b, describe in Part III.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |           |    |
| <b>7</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described on lines 5 and 6? If "Yes," describe in Part III .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>7</b>  | X  |
| <b>8</b> Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>8</b>  | X  |
| <b>9</b> If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? .....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>9</b>  |    |

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Schedule J (Form 990) 2015





**SCHEDULE O**  
**(Form 990 or 990-EZ)**

**Supplemental Information to Form 990 or 990-EZ**

OMB No. 1545-0047

**2015**

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.  
▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

THE AGRICULTURAL AND LABOR PROGRAM, INC.

Employer identification number  
59-1634148

FORM 990, PART VI, SECTION A, LINE 8B:

THERE ARE NOT ANY COMMITTEES WITH THE AUTHORITY TO ACT ON BEHALF OF THE GOVERNING BODY.

FORM 990, PART VI, SECTION B, LINE 11:

THE CEO AND THE BOARD CHAIRPERSON REVIEW THE FORM 990 ON BEHALF OF THE BOARD BEFORE IT IS FILED. THE COMPLETED FORM 990 IS THEN PRESENTED TO THE BOARD FOR REVIEW AND INFORMATION.

FORM 990, PART VI, SECTION B, LINE 15:

THE PROCESS FOR DETERMINING COMPENSATION INCLUDES THE USE OF A WAGE AND COMPARABILITY STUDY.

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS GOVERNING DOCUMENTS AND FINANCIAL STATEMENTS AVAILABLE TO THE PUBLIC UPON REQUEST FOR THE SAME PERIOD OF DISCLOSURE AS SET FORTH IN SECTION 6104(D).

FORM 990, PART XII, LINE 2C:

THE ORGANIZATION DID NOT CHANGE ITS PROCESSES DURING THE TAX YEAR.

**SCHEDULE R  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Related Organizations and Unrelated Partnerships**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.  
▶ Attach to Form 990.

▶ Information about Schedule R (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

**THE AGRICULTURAL AND LABOR PROGRAM, INC.**

**Part I Identification of Disregarded Entities** Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

| (a)<br>Name, address, and EIN (if applicable)<br>of disregarded entity | (b)<br>Primary activity | (c)<br>Legal domicile (state or<br>foreign country) | (d)<br>Total income | End-of- |
|------------------------------------------------------------------------|-------------------------|-----------------------------------------------------|---------------------|---------|
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |
|                                                                        |                         |                                                     |                     |         |

**Part II Identification of Related Tax-Exempt Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had related organizations during the tax year.

| (a)<br>Name, address, and EIN<br>of related organization                                                               | (b)<br>Primary activity           | (c)<br>Legal domicile (state or<br>foreign country) | (d)<br>Exempt Code<br>section | (e)<br>Public char<br>status (if sec<br>501(c)(3)) |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------------------------------------|-------------------------------|----------------------------------------------------|
| AGRICULTURAL AND LABOR HOUSING DEVELOPMENT<br>CORPORATION, INC. - 59-3217763, P.O. BOX<br>3126, WINTER HAVEN, FL 33885 | HOUSING DEVELOPMENT<br>MANAGEMENT | FLORIDA                                             | 501(C)(3)                     | LINE 7                                             |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |
|                                                                                                                        |                                   |                                                     |                               |                                                    |

For Paperwork Reduction Act Notice, see the Instructions for Form 990.



**Part V Transactions With Related Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

**Note.** Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

- 1** During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?
  - a** Receipt of **(i)** interest, **(ii)** annuities, **(iii)** royalties, or **(iv)** rent from a controlled entity .....
  - b** Gift, grant, or capital contribution to related organization(s) .....
  - c** Gift, grant, or capital contribution from related organization(s) .....
  - d** Loans or loan guarantees to or for related organization(s) .....
  - e** Loans or loan guarantees by related organization(s) .....
  
  - f** Dividends from related organization(s) .....
  - g** Sale of assets to related organization(s) .....
  - h** Purchase of assets from related organization(s) .....
  - i** Exchange of assets with related organization(s) .....
  - j** Lease of facilities, equipment, or other assets to related organization(s) .....
  
  - k** Lease of facilities, equipment, or other assets from related organization(s) .....
  - l** Performance of services or membership or fundraising solicitations for related organization(s) .....
  - m** Performance of services or membership or fundraising solicitations by related organization(s) .....
  - n** Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) .....
  - o** Sharing of paid employees with related organization(s) .....
  
  - p** Reimbursement paid to related organization(s) for expenses .....
  - q** Reimbursement paid by related organization(s) for expenses .....
  
  - r** Other transfer of cash or property to related organization(s) .....
  - s** Other transfer of cash or property from related organization(s) .....

**2** If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transactions.

|     | (a)<br>Name of related organization | (b)<br>Transaction<br>type (a-s) | (c)<br>Amount involved | Method |
|-----|-------------------------------------|----------------------------------|------------------------|--------|
| (1) |                                     |                                  |                        |        |
| (2) |                                     |                                  |                        |        |
| (3) |                                     |                                  |                        |        |
| (4) |                                     |                                  |                        |        |
| (5) |                                     |                                  |                        |        |
| (6) |                                     |                                  |                        |        |



**Part VII** Supplemental Information

Provide additional information for responses to questions on Schedule R (see instructions).

Lined area for supplemental information.

## 2017/2018 FUNDING SOURCES

- DHHS/ACF Head Start
- Frostproof Child Development Center
- 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 (Adult Migrant Division)
- Florida Department of Health
- Early Learning Coalition of Polk County
- Early Learning Coalition of St. Lucie County
- St. Lucie County School Board
- HUD
- ATEC
- Homeless Coalition/Emergency Solution Grant
- E-Rate
- Client Fees
- Fundraising Activities
- Inkind

The Agricultural and Labor Program, Inc.  
 Fiscal Year 2017-2018  
 Agency Budget

| <b>REVENUES</b>                                         | <b>FY 18</b>      | <b>FY 17</b>      |
|---------------------------------------------------------|-------------------|-------------------|
| Head Start / Early Head Start (St. Lucie/Polk Counties) | 7,487,138         | 7,414,082         |
| ALPI Child Care Centers (St. Lucie/Polk Counties)       | 52,712            | 52,712            |
| Polk ELC VPK                                            | 31,756            | 31,756            |
| St Lucie County Early Learning VPK                      | 866,408           | 866,408           |
| USDA Food                                               | 963,590           | 942,634           |
| Children's Services Council                             | 103,647           | 84,599            |
| Department of Economic Opportunity LIHEAP               | 4,537,519         | 4,374,828         |
| Senior Connection Center, Inc. EHEAP                    | 114,623           | 114,623           |
| Department of Economic Opportunity CSBG                 | 1,772,883         | 1,772,883         |
| Emergency Solutions Grant                               | 65,688            | 46,500            |
| Department of Education EA                              | 60,000            | 60,000            |
| Florida Non Profit Housing                              | 26,400            | 26,400            |
| H.U.D. Housing Counseling                               | 17,527            | 15,363            |
| ATEC                                                    | 10,100            | 10,100            |
| FACA/OAG                                                | -                 | 19,647            |
| E-rate                                                  | 95,161            | 95,161            |
| Fund Raiser                                             | 35,000            | 35,000            |
| Other                                                   | 1,145             | 1,145             |
| In-Kind / Cash Match                                    | 1,871,785         | 1,856,521         |
| <b>TOTAL REVENUE</b>                                    | <b>18,113,082</b> | <b>17,820,362</b> |
| <b>EXPENSES</b>                                         |                   |                   |
| Salaries and Wages                                      | 6,878,880         | 6,914,678         |
| Fringe Benefits                                         | 1,848,700         | 1,749,019         |
| Communications                                          | 259,346           | 225,756           |
| Travel                                                  | 130,332           | 120,085           |
| Food                                                    | 470,843           | 506,384           |
| Rent and Utilities                                      | 623,349           | 549,776           |
| Contractual Services                                    | 498,094           | 484,325           |
| Materials and Supplies                                  | 651,746           | 679,480           |
| Training                                                | 243,698           | 232,056           |
| Grants, Subsidies and Contributions                     | 4,132,148         | 4,004,333         |
| Subcontractors                                          | 412,738           | 400,016           |
| In-Kind                                                 | 1,871,785         | 1,853,521         |
| Other                                                   | 91,423            | 100,933           |
| <b>TOTAL EXPENSES</b>                                   | <b>18,113,082</b> | <b>17,820,362</b> |

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## 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
-

**COMMUNITY AND PUBLIC RELATIONS**

- See Marketing Packet (under separate cover)

## **PROPOSED SHARED GOVERNANCE TASK AND TIMELINES**

- Board of Directors
- Head Start/Early Head Start Policy Council
- Advisory Councils

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



| <b>TASK(S)</b>                                                                                                      | <b>ACTION ITEM</b> | <b>TRAINING</b> | <b>SPECIAL EVENT</b> | <b>Committee(s)/ Person Assigned</b> |
|---------------------------------------------------------------------------------------------------------------------|--------------------|-----------------|----------------------|--------------------------------------|
| <b>FEBRUARY</b>                                                                                                     |                    |                 |                      |                                      |
| 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                        |
| Review and Approve Board Meeting Action Items                                                                       | X                  |                 |                      | Full Board                           |
| Confirm elections and review Advisory Council Meeting Schedules                                                     | X                  |                 |                      | CEO, Bd Chair                        |
| Review Fundraising State Certification                                                                              | X                  |                 |                      | CEO, Bd Chair                        |
| <b>MARCH</b>                                                                                                        |                    |                 |                      |                                      |
| 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"> <li>• Performance</li> <li>• Reimbursement</li> </ul> | X                  |                 |                      | CEO, Bd Chair, PP                    |
| Approve proposed grant applications                                                                                 | X                  |                 |                      | CEO, Bd Chair, PP                    |
| Representation for Upcoming Conferences/Meetings/Events                                                             | X                  | X               | X                    | TBA                                  |

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



| APRIL                                                                                                                                       |   |   |   |                    |
|---------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|--------------------|
| Board Meeting/ALPI Sites Visit                                                                                                              | X |   |   | CEO, Bd Chair      |
| Discuss 2019 Preliminary Operating Budget                                                                                                   | X |   |   | CEO, Bd Chair, B/F |
| Establish Annual Picnic Plan/Budget                                                                                                         | X |   |   | CEO, Bd Chair, SE  |
| Approve 2018 Auditing Firm                                                                                                                  | X |   |   | CEO, Bd Chair, B/F |
| Review Board Recognition/Appreciation Awards Plan<br>* Identify CEO Annual Award for 2019                                                   | X |   |   | CEO, Bd Chair, SE  |
| Review Head Start/EHS 2018-2019 Program Goals and Objectives                                                                                | X |   |   | CEO, PP            |
| Review community target areas to be served by ALPI Head Start/EHS in 2017-2018                                                              | X |   |   | CEO, PP            |
| Review ALPI Head Start/EHS 2018-2019 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 2017-2018 Self-Assessment Results and QIP                                                                             | X |   |   | CEO, PP            |
| Review ALPI Head Start/EHS 2018-2019 criteria for recruitment, selection and enrollment priorities                                          | X |   |   | CEO, PP            |
| Review Agency 2017-2018 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Review Board Fundraising Report                                                                                                             | X |   |   | CEO, Bd Chair, B/F |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



| TASK(S)                                                                                                                                                                                        | ACTION ITEM | TRAINING | SPECIAL EVENT | Committee(s)/<br>Person Assigned |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------|---------------|----------------------------------|
| <b>MAY</b>                                                                                                                                                                                     |             |          |               |                                  |
| Finalize Annual Picnic Plan/Budget<br>• 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<br>• Performance<br>• Reimbursement<br>• In-Kind Match                                                                                                             | X           |          |               | CEO, Bd Chair, PP                |
| Approve proposed grant applications                                                                                                                                                            | X           |          |               | CEO, Bd Chair, PP                |
| Representation for Upcoming Conferences/Meetings/Events                                                                                                                                        | X           | X        | X             | TBA                              |
| <b>JUNE</b>                                                                                                                                                                                    |             |          |               |                                  |
| 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<br>• Award Presenters<br>• Keynote Speaker Criteria<br>• Annual Meeting Program Agenda Content<br>• 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<br>• Performance<br>• Reimbursement<br>• In-Kind Match                                                                                                              | X           |          |               | CEO, Bd Chair, PP                |

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



|                                                         |   |   |   |                    |
|---------------------------------------------------------|---|---|---|--------------------|
| Review Board Fundraising Report                         | X |   |   | CEO, Bd Chair, B/F |
| Approve proposed grant applications                     | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events | X | X | 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

**SEPTEMBER**

|                                                                    |   |  |  |                   |
|--------------------------------------------------------------------|---|--|--|-------------------|
| Board Meeting                                                      | X |  |  | CEO, Bd Chair     |
| Review CEO Performance Evaluation Procedures & Instrument for 2017 | X |  |  | CEO, Bd Chair     |
| Review Strategic Plan Status                                       | X |  |  | CEO, Bd Chair, PP |
| Review Risk Management Assessment Checklist                        | X |  |  | CEO, PP           |

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



|                                                                                                                                             |   |   |   |                    |
|---------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|--------------------|
| Identify Board Nominees for 2019 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 2018-2019 Policy Council (identify future members)                                                       | X |   |   | CEO, EC            |
| Approve Head Start/EHS Policy Council 2018-2019 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

**OCTOBER**

|                                                                                                                                                                                                                                                       |   |  |  |                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|--|--------------------|
| Send out 1 <sup>st</sup> Annual Meeting Notices <ul style="list-style-type: none"> <li>• Corporate Sponsorship Solicitation</li> <li>• Greetings and Proclamation Solicitation</li> <li>• Finalize Contract Negotiations (Speakers, Venue)</li> </ul> | X |  |  | <b>CEO</b>         |
| 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 |
| Review Y-T-D Grant Reports <ul style="list-style-type: none"> <li>• Performance</li> <li>• Reimbursement</li> <li>• In-Kind Match</li> </ul>                                                                                                          | X |  |  | CEO, Bd Chair, PP  |

**PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES**



|                                                         |   |   |   |                   |
|---------------------------------------------------------|---|---|---|-------------------|
| Approve proposed grant applications                     | X |   |   | CEO, Bd Chair, PP |
| Representation for Upcoming Conferences/Meetings/Events | x | X | X | TBA               |

| <b>NOVEMBER</b>                                                                                                                                                               |   |   |  |                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|--|--------------------|
| 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 |
| 2019 Annual Meeting Luncheon Program <ul style="list-style-type: none"> <li>• Identify Program Participants</li> <li>• Include Bio of Awards Recipients in Program</li> </ul> | 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 2017 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 <ul style="list-style-type: none"> <li>• Performance</li> <li>• Reimbursement</li> <li>• In-Kind Match</li> </ul>                                  | 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  
2018 TASKS AND TIMELINES



| DECEMBER                                                                                                                                                                      |   |  |   |                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|---|--------------------|
| Annual Meeting Notices (follow-up)<br>• Corporate Sponsorship Solicitation<br>• Greetings and Proclamation Solicitation<br>• Finalize Contract Negotiations (Speakers, Venue) | X |  |   | CEO                |
| Distribute Annual Meeting Invitations                                                                                                                                         | X |  |   | CEO                |
| Review programs' quarterly monitoring reports                                                                                                                                 | X |  |   | CEO, PP            |
| Review 2018 Draft Corporate Annual Report                                                                                                                                     | X |  |   | CEO, Bd Chair, SE  |
| Review Financial Reports                                                                                                                                                      | X |  |   | CEO, Bd Chair, B/F |
| Review Y-T-D Grant Reports<br>• Performance<br>• Reimbursement<br>• 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 2019                                                                                                                                                                  |   |  |   |                    |
| <b>Closeout Board Meeting</b>                                                                                                                                                 | 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<br>• Highlight recipients on website                                                                                              | X |  |   | CEO                |
| Review Financial Reports                                                                                                                                                      | X |  |   | CEO, Bd Chair, B/F |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



|                                                                                                                                              |   |  |  |                    |
|----------------------------------------------------------------------------------------------------------------------------------------------|---|--|--|--------------------|
| Review Y-T-D Grant Reports <ul style="list-style-type: none"> <li>• Performance</li> <li>• Reimbursement</li> <li>• In-Kind Match</li> </ul> | X |  |  | CEO, Bd Chair, PP  |
| Review Board Fundraising Report                                                                                                              | X |  |  | CEO, Bd Chair, B/F |
| Approve proposed grant applications                                                                                                          | X |  |  | CEO, Bd Chair, PP  |



# 2017-2018

## POLICY COUNCIL MAJOR TASKS/TIME LINES

### AUGUST

Participate in parent orientation

### SEPTEMBER

1. Approve/disapprove new employees (if applicable)
2. Established Parent Committees
3. Parliamentary procedures training
4. Election of Policy Council Representative and Alternates

### OCTOBER

1. Policy Council Training/Orientation
2. Install New Policy Council Members
3. Approve/disapprove of Community Representatives

### NOVEMBER

1. Policy Council Monthly Meeting
2. Policy Council participates in the Board of Directors Retreat
3. Approve/disapprove of Criteria for recruitment, selection, and enrollment priorities for Head Start/Early Head Start Program

### DECEMBER

1. Policy Council Monthly Meeting
2. Approval/disapproval Management Work Plans, and Operational Policies & Procedures
3. Internal Dispute Resolution/Community Compliant Procedures
4. Fiscal Management/Personnel Policies and Procedures

### JANUARY

1. Policy Council Monthly Meeting
2. Agency Corporate Annual Meeting

### FEBRUARY

1. Policy Council Monthly Meeting
2. Policy Council, Parents, Board Members, and Staff participate on the Program Annual Self- Assessment, and Program Strategic Planning Training/Retreat.
3. Board of Directors/Policy Council Orientation (new board)

### MARCH

1. Policy Council Monthly Meeting
2. Approve/disapprove of Refunding Application to include: program options, Management Work Plans, Operational Policies and Procedures, etc.
3. Approve/disapprove Self-Assessment Report

### APRIL

1. Policy Council Monthly Meeting
2. Approve/disapproval of Parent Activity Funds
3. Approve/disapprove of Self-Assessment Corrective Action Plan

### MAY

Policy Council Monthly Meeting

### JUNE

1. Policy Council Monthly Meeting
2. Annual 1Agency Picnic



**CENTRAL REGION ADVISORY COUNCIL  
PROPOSED TASKS & TIMELINES  
2018**

| TASK(S)                                                                                                                                                                                                                                                                                                                                                                                         | ACTION ITEM | TRAINING | SPECIAL EVENT | Committee(s)/<br>Person Assigned |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------|---------------|----------------------------------|
| <b>FEBRUARY</b>                                                                                                                                                                                                                                                                                                                                                                                 |             |          |               |                                  |
| Attend Shared Governance Orientation                                                                                                                                                                                                                                                                                                                                                            |             | X        |               | CEO, Bd Chair                    |
| <b>MARCH</b>                                                                                                                                                                                                                                                                                                                                                                                    |             |          |               |                                  |
| <ul style="list-style-type: none"> <li>•Finalize Council Meeting Schedule</li> <li>•Confirm Council Committee Assignments</li> <li>•Review Council Tasks &amp; Timelines</li> <li>•Review application for scholarships</li> </ul>                                                                                                                                                               | X           |          |               | Full Council                     |
| Select Representative to attend FACA Training Conference (May/Tampa, FL)                                                                                                                                                                                                                                                                                                                        |             | X        |               | Full Council                     |
| <b>MAY</b>                                                                                                                                                                                                                                                                                                                                                                                      |             |          |               |                                  |
| <ul style="list-style-type: none"> <li>•Review Advisory Council Membership Recruitment Plan</li> <li>•Identify Advisory 2017-2018 Legislative Agenda/Plan</li> </ul>                                                                                                                                                                                                                            | X           |          |               |                                  |
| Select Representative to attend FACA Training Conference                                                                                                                                                                                                                                                                                                                                        |             | X        |               | Full Council                     |
| <b>JUNE</b>                                                                                                                                                                                                                                                                                                                                                                                     |             |          |               |                                  |
| Participate in Annual Family Picnic Activities                                                                                                                                                                                                                                                                                                                                                  |             |          | X             | Full Council                     |
| <b>AUGUST</b>                                                                                                                                                                                                                                                                                                                                                                                   |             |          |               |                                  |
| Finalize Annual Meeting Plans to Include: <ul style="list-style-type: none"> <li>•Program Booklet</li> <li>•Program Participants</li> <li>•Location /Caterer</li> <li>•Invitation Mail-out</li> <li>•Review Council's Membership &amp; Meeting Attendance</li> <li>•Certify Council's Corporate Membership</li> <li>•Select Individual/Organization for 2019 Community Service Award</li> </ul> | X           |          |               | Full Council                     |
| <b>OCTOBER</b>                                                                                                                                                                                                                                                                                                                                                                                  |             |          |               |                                  |
| Annual Corporate Membership Meeting <ul style="list-style-type: none"> <li>•Recognition of Council Volunteer Services</li> <li>•Recognition of Outgoing Council Members</li> <li>•Installation of 2017-2018 Council Members &amp; Officers</li> </ul>                                                                                                                                           | X           |          |               | Full Council                     |
| <b>JANUARY 2019</b>                                                                                                                                                                                                                                                                                                                                                                             |             |          |               |                                  |
| 2019 Annual Corporate Meeting and Luncheon                                                                                                                                                                                                                                                                                                                                                      |             |          | X             | Full Council                     |

2018 EASTERN REGION ADVISORY COUNCIL  
PROPOSED TASKS AND TIMELINES

| TASKS:                                         | MONTH     | COMMITTEE/MEMBER ASSIGNED                              |
|------------------------------------------------|-----------|--------------------------------------------------------|
| Shared Governance Orientation 2/23-2/24        | FEBRUARY  | <b>FULL COUNCIL</b>                                    |
| FACA Representative 5/15-5/18                  |           |                                                        |
| <b>MARCH 19, 2018 - COUNCIL MEETING</b>        | MARCH     | <b>FULL COUNCIL</b>                                    |
| 2018 MARCH TIMELINE                            | 3/19/2018 | Chairperson - FULL COUNCIL                             |
| Discuss ERAC Scholarship Start Up              |           | Marjorie Gaskin                                        |
| Scholarship Packets Available                  |           | Chair/Liaison                                          |
| Scholarship Update, Ads and Letter             |           |                                                        |
| Select Member to Pick Up Proclamation          |           |                                                        |
| Chairperson of Annual Meeting                  |           |                                                        |
| Recruitment of ERAC Members                    |           |                                                        |
| Recognize Birthdays January - March            |           | Beverly Richardson, Mercadez Estime Connelly           |
| "                                              |           | Donna Mills, Gena Spivey, Betty Bradwell, Angela Jules |
|                                                | APRIL     | <b>No Council Meeting</b>                              |
| Secure Proclamation for Community Action Month | 4/23/2018 |                                                        |
| Annual Meeting Update                          | 4/21/2018 | Committee Chairperson                                  |
| Scholarship Update                             | 4/21/2018 | Committee Chairperson                                  |
| <b>May 21, 2018 - Council Meeting</b>          | MAY       | <b>Full Council</b>                                    |
| COMMUNITY ACTION MONTH-MONTH OF MAY- CSBG      | 5/1/2018  | Awareness of Month Activities                          |
| FUNDRAISING ACTIVITIES                         | 5/21/2018 | Full Council                                           |
| SCHOLARSHIP UPDATE, ADS AND LETTER             | 5/21/2018 | Committee                                              |
| ACTION PLAN FOR FT. PIERCE ENERGY FAIR         | 5/21/2018 | Committee                                              |
| DISCUSS ANNUAL PICNIC                          | 5/21/2018 |                                                        |
| Recognize Birthdays April - July               | 5/21/2018 | Constance Griffin, Marjorie Gaskin,                    |
| "                                              | "         | Katherine Sims, Margaret Porter, Francis Cooper        |

2018 EASTERN REGION ADVISORY COUNCIL  
PROPOSED TASKS AND TIMELINES

|                                                         |             |                                          |
|---------------------------------------------------------|-------------|------------------------------------------|
|                                                         |             |                                          |
|                                                         | JUNE        | <b>No Council Meeting</b>                |
| Energy Fair                                             |             | Full Council                             |
| ALPI Annual Agency Picnic - Northern Region             | 6/23/2018   |                                          |
| Voting Initiative Day & Organize Political forums       |             |                                          |
| <b>August 20, 2018 - Council Meeting</b>                | AUGUST      | <b>Council Meeting</b>                   |
| DEADLINE OF FINAL SELECTION OF SCHOLARSHIP APPLICATIONS | 8/20/2018   | Scholarship Committee                    |
| FUNDRAISING UPDATE                                      | 8/20/2018   | Fundraising Committee                    |
| ANNUAL MEETING PROGRAM DEVELOPMENT                      | 8/20/2018   | Chairperson and Committee                |
| ACTION PLAN FOR MARTIN COUNTY ENERGY FAIR               | 8/20/2018   |                                          |
| Select FACA Representative - 2019                       | 8/20/2018   |                                          |
| Select Community Service Award Recipient                | 8/20/2018   | Full Council                             |
| Recognize Birthdays August - December                   | 8/20/2018   | William Holt, Debra Williams,            |
| "                                                       | "           | Tiffany Wilder, Bobby Byrd, Fannie Moore |
|                                                         | SEPTEMBER   | <b>No Council Meeting</b>                |
| SELECTION OF FUNDRAISING ACTIVITIES COMPLETED           | 9/14/2018   | Fundraising Committee                    |
| FINAL DEADLINE OF SCHOLARSHIP ADS ---                   | 9/7/2018    | M. Gaskin & Scholarship Committee        |
| ANNUAL MEETING BOOKLETS                                 | 9/14/2018   | "                                        |
| ENERGY FAIR - MARTIN COUNTY                             | TBA         |                                          |
| <b>October 21, 2017 - Annual Meeting</b>                | OCTOBER     | <b>FULL COUNCIL</b>                      |
| ATTEND COUNCIL MEMBERSHIP MEETING                       | 10/20/2018  | Full Council                             |
| INSTALLATION OF 2017/2018 COUNCIL MEMBERS               | 10/20/2018  | Program Committee                        |
|                                                         | <b>2019</b> |                                          |
|                                                         | JANUARY     |                                          |
| ALPI Corporate Annual Meeting - 2019                    | 1/26/2019   | Full Council                             |

2018 EASTERN REGION ADVISORY COUNCIL  
PROPOSED TASKS AND TIMELINES

|                                              |          |              |
|----------------------------------------------|----------|--------------|
|                                              |          |              |
|                                              | FEBRUARY |              |
| Shared Governance Orientation-2/22-2/23/2019 |          | Full Council |

**NORTHERN REGION & ATEC ADVISORY COUNCIL  
PROPOSED TASKS & TIMELINES  
2018**

| TASK(S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | ACTION ITEM | TRAINING | SPECIAL EVENT | Committee(s)/ Person Assigned |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------|---------------|-------------------------------|
| <b>FEBRUARY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                           |             |          |               |                               |
| Attend Shared Governance Orientation                                                                                                                                                                                                                                                                                                                                                                                                                                      |             | X        |               | CEO, Bd Chair                 |
| <b>MARCH</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                              |             |          |               |                               |
| NRAC & ATEC Meeting<br><br><ul style="list-style-type: none"> <li>•Finalize Council Meeting Schedule</li> <li>•Confirm Council Committee Assignments</li> <li>•Review Council Tasks &amp; Timelines</li> <li>•Review draft plans for scholarships</li> </ul>                                                                                                                                                                                                              |             |          |               | Full Council                  |
| Select Representative to attend FACA Training Conference                                                                                                                                                                                                                                                                                                                                                                                                                  |             | X        |               | Full Council                  |
| <b>MAY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                |             |          |               |                               |
| NRAC & ATEC Meeting<br><ul style="list-style-type: none"> <li>•Review Advisory Council Membership Recruitment Plan<br/>Activities to include Northern Region Sector of services being provided inclusive of the following counties:<br/>*Seminole County (Sanford)<br/>*Volusia County (Deland, Pierson)<br/>*Lake County (Leesburg)<br/>*Orange County (Apopka, Orlando, Winter Park, Zellwood)</li> <li>•Identify Advisory 2018/2019 Legislative Agenda/Plan</li> </ul> | X           |          |               |                               |
| <b>JUNE</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                               |             |          |               |                               |
| Participate in Annual Agency Family Picnic Activities                                                                                                                                                                                                                                                                                                                                                                                                                     |             |          | X             | Full Council                  |
| <b>AUGUST</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                             |             |          |               |                               |
| NRAC & ATEC Meeting<br>Finalize Annual Meeting Plans to Include:<br><ul style="list-style-type: none"> <li>•Program Booklet</li> <li>•Program Participants</li> <li>•Location /Caterer</li> <li>•Invitation Mail-out</li> <li>•Review Council's Membership &amp; Meeting Attendance</li> <li>•Certify Council's Corporate Membership</li> <li>•Select Individual/Organization for 2017 Community Service Award</li> </ul>                                                 | X           |          |               | Full Council                  |
| <b>OCTOBER</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                            |             |          |               |                               |
| Annual Corporate Membership Meeting<br><ul style="list-style-type: none"> <li>•Recognition of Council Volunteer Services</li> <li>•Recognition of Outgoing Council Members</li> <li>•Installation of 2016-2017 Council Members &amp; Officers</li> </ul>                                                                                                                                                                                                                  | X           |          |               | Full Council                  |

2018 SOUTHERN REGION ADVISORY COUNCIL  
PROPOSED TASKS AND TIMELINES

| TASKS:                                          | MONTH    | COMMITTEE/MEMBER ASSIGNED     |
|-------------------------------------------------|----------|-------------------------------|
| Attend Shared Governance Orientation            | FEBRUARY | CEO/Board Chair               |
| Distribute 2018 (draft) Calendars               |          | FULL COUNCIL                  |
| Distribute 2018 (draft) Tasks and Timelines     |          |                               |
|                                                 | MARCH    | FULL COUNCIL                  |
| Confirm '2018' Meeting Calendar                 |          | FULL COUNCIL                  |
| Review '2018' Tasks & Timeslines                |          |                               |
| Review Corporate Applications                   |          |                               |
| Discuss Seigler, Sims & Wade Scholarship        |          |                               |
| Select Rep to attend FACA Training (5/15-18)    |          |                               |
|                                                 | MAY      | FULL COUNCIL                  |
| Finalize Scholarship Donation                   |          |                               |
|                                                 | JUNE     | FULL COUNCIL                  |
| ALPI's Annual Family Day Picnic                 |          | Hosted by the Northern Region |
| Location: TBA                                   |          |                               |
|                                                 | AUGUST   | FULL COUNCIL                  |
| 2018' Annual Meeting Plans                      |          |                               |
| Program/Participants/Menu                       |          |                               |
| Identify 2019 Community Service Award Recipient |          |                               |
|                                                 | OCTOBER  | FULL COUNCIL                  |
| 2018' Annual Membership Meeting                 |          |                               |
| Recognition of Council's Volunteer Service      |          |                               |
| Installation of '2018-19' Council Members       |          |                               |
|                                                 | JANUARY  | FULL COUNCIL                  |
| 2019' Annual Corporate BOD Luncheon             |          |                               |

## **CALENDAR/SPECIAL EVENTS**

- Agency Holiday Schedule
- Shared Governance Meetings/Events

**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  
 Ft. Pierce, FL 34950  
 (772) 466-2631  
 Toll Free: 1 (800) 791-3099  
 Fax: (772) 464-3035

**MEMORANDUM**

**TO:** All ALPI Employees  
**FROM:** Christine Samuel, Human Resources Director  
**SUBJECT:** 2018 Holiday Calendar



The following holidays will be observed in 2018:

| <u>Holiday</u>                    | <u>Date Observed</u>         |
|-----------------------------------|------------------------------|
| New Year's Day                    | Monday, January 1            |
| Dr. Martin Luther King's Birthday | Monday, January 15           |
| Good Friday                       | Friday, March 30             |
| Memorial Day                      | Monday, May 28               |
| Independence Day                  | Wed./Thurs. July 4 & 5       |
| Labor Day                         | Monday, September 3          |
| Veteran's Day                     | Monday, November 12          |
| Thanksgiving                      | Thurs./Fri. November 22 & 23 |
| Christmas                         | Mon./Tues. December 24 & 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 2018.

cc: Deloris Johnson, CEO



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

**The Agricultural and Labor Program, Inc.**  
**2018 Board Meeting**  
**Meeting Calendar**  
**(Proposed)**



|                                                                                                                                                                                     |                                                                                                                                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| <b>JANUARY, 2018</b>                                                                                                                                                                | <b>FEBRUARY, 2018</b>                                                                                                                    |
| 26 Board Awards Reception<br><br>27 Close-out Board of Directors Meeting<br>Corporate Membership Meeting<br>Annual Corporate Meeting & Luncheon<br><br><b>Rosen Centre- Orlando</b> | 24 Shared Governance Orientation<br><br><br><br><b>Chain O' Lakes - Winter Haven</b>                                                     |
| <b>APRIL, 2018</b>                                                                                                                                                                  | <b>JUNE, 2018</b>                                                                                                                        |
| 27 Executive Committee Meeting<br><br>28 Board of Directors Meeting<br><br><b>Chain O'Lakes- Winter Haven</b>                                                                       | 22 Executive Committee Meeting<br><br>23 Board of Directors Meeting<br><br>23 Annual Agency Family Picnic - (Northern)<br><br><b>TBA</b> |
| <b>SEPTEMBER, 2018</b>                                                                                                                                                              | <b>NOVEMBER, 2018</b>                                                                                                                    |
| 21 Executive Committee Meeting<br><br>22 Board of Directors Meeting<br><br><b>Chain O' Lakes - Winter Haven</b>                                                                     | 16-18 Board of Directors'<br>Management Planning Retreat<br><br><br><b>TBA</b>                                                           |
| <b>DECEMBER, 2018</b><br>(If Applicable)                                                                                                                                            |                                                                                                                                          |
| <b>JANUARY 2019</b><br>(TBA)                                                                                                                                                        |                                                                                                                                          |

**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.



**ALPI HEAD START/EARLY HEAD START  
PROPOSED 2017-2018 POLICY COUNCIL MEETING SCHEDULE**

August 9, 2017

Orientation - October 16-17, 2017

October 18, 2017

November 15, 2017

December 20, 2017

January 17, 2018

February 21, 2018

March 21, 2018

April 18, 2018

May 16, 2018

June 20, 2018

**LOCATION:** ALPI Administrative Office  
2202 Avenue Q, Fort Pierce, FL 34950

**TIME:** 12:30 pm



**PROPOSED  
2018 CENTRAL REGIONAL ADVISORY COUNCIL  
MEETING CALENDAR**

**Central Regional Advisory Council**  
Corporate Office  
Lake Alfred, FL  
5:30 p.m.

March 14

May 9

August 8

October 6 (Annual Meeting)  
Location: TBD



## **PROPOSED Eastern Region Advisory Council**

### 2018 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 19, 2018

May 21, 2018

August 20, 2018

### **Annual Meeting**

October 20, 2018  
11:00 AM  
ALPI Admin. Office  
2202 Ave. Q  
Fort Pierce, FL 34950



**Deloris C. Johnson**

Chief Executive Officer

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**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

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*Service Areas:* Polk (Frostproof)  
 and St. Lucie Counties

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*Service Areas:* Polk (Frostproof)  
 and St. Lucie Counties

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 Program (CAT)**  
*Service Area:* St. Lucie County

**Eastern Region Administration Office**  
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 Fax: (772) 464-3085

## NORTHERN REGION & ATEC ADVISORY COUNCIL

### Proposed 2018 Meeting Schedule

**LOCATION:** Velma Williams Community Center

1203 West 13<sup>th</sup> Street

Sanford, FL 32771

&

ATEC Technical Training Center

1326 East International Speedway, Suite D-9,

Deland, FL 32724

**TIME:** 7:00 p.m.

**DATES:** March 12, 2018 7 p.m.

May 14, 2018 7 p.m.

August 13, 2018 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



**SOUTHERN REGION ADVISORY COUNCIL  
PROPOSED CALENDAR FOR 2018  
6:30 — 7:30 PM**

| <b>Month</b>              | <b>Activity</b>       | <b>Location</b>                                         |
|---------------------------|-----------------------|---------------------------------------------------------|
| March 20, 2018 (Tuesday)  | Council Mtg.          | Greater Love Church of God in Christ<br>Lake Placid, FL |
| May 15, 2018 (Tuesday)    | Council Mtg.          | Greater Love Church of God in Christ<br>Lake Placid, FL |
| August 20, 2018 (Monday)  | Council Mtg.          | Lakeview Park Community Center<br>Frostproof, FL        |
| October 15, 2018 (Monday) | Annual Mtg. (7:00 PM) | Lakeview Park Community Center<br>Frostproof, FL        |
|                           |                       |                                                         |
|                           |                       |                                                         |

**Meeting dates:** 3<sup>rd</sup> Tuesday & 3<sup>rd</sup> Monday

**Meeting location** Lakeview Park Community Center  
38 Kings Blvd  
Frost Proof, FL 33843

Greater Love Church of God in Christ  
143 Vision Street  
Lake Placid, FL 33852

## **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 2018 Annual Corporate Meeting & Luncheon Booklet )

## 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 foresee ably 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 off ice.
- **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 2018 Vol. 34, No. 6

Editor: Jeff Stratton

## The board needs motivation and inspiration

Keeping board members connected to the mission presents challenges. Here are several ways to accomplish this at board meetings. If one sounds promising, speak to your executive director about including it on the board meeting agenda.

- **Build a “mission moment” into the board meeting.** The staff can tell the story of a person your organization serves who has had success.

Or try starting a “speakers’ bureau” comprising people you serve who can tell their stories in a

presentation to the board.

- **Engage the board in fundraising.** Schedule one-to-one meetings with your CEO and board chair, who can lay out the organization’s fundraising plan and ask board members to participate in whatever way they can.

- **Boost committee engagement with specific work.** Committees typically perform more hands-on work that can fit perfectly with a board member’s area of expertise. ■

## Board secretary should have increased workload

Michael Daigneault believes the role of the board secretary—the person who typically takes meeting minutes and records governing documents—should be expanded to include more work. The type of work should be in the form of increased responsibilities that will serve to improve the board’s overall performance.

Daigneault recommends viewing your secretary as the board’s “chief governance officer.”

His strategy is to make the secretary chair of a board governance committee and to give the

secretary responsibilities in the area of new member recruitment, working in partnership with the board chair and executive director.

The secretary should also manage governance activities such as appraisals of the board and committees the board uses.

By giving the secretary this type of governance work, the board will develop a governance advocate who works to improve its performance.

For more information, go to <http://quantumgovernance.net>. ■

## Place a dollar value on the board’s time

People who volunteer to serve on boards deserve a round of applause. They also deserve to have their time used wisely and efficiently.

One way to respect board time is to put a dollar value on it. Place a dollar value on the hourly rate each board member gives to the organization. Mul-

tiple this figure by the number of board members at your organization.

You will likely come up with an impressive figure that should drive home the point of working effectively and efficiently as a board to make the best use of the board’s valuable time. ■

## Process builds a self-correcting board

The concept of a “self-correcting” board is simple yet powerful. On a self-correcting board, the board’s leadership and veterans nip undesirable board behavior (such as role confusion) in the bud before it gets out of control.

To develop a self-correcting board, begin at orientation of new members. Often, new members lack board experience, and specifically they lack experience in how your board operates.

During orientation, new board members should be provided with a flowchart of the organization, information about the budget, information about fellow board members, the organization’s bylaws and quick and easy-to-read literature about how to serve on a board.

New members should sit down with your administrator to review nuts-and-bolts information about the organization (such as size of the organization and staff, budget and staff responsibilities).

Once board members have been through orien-

tation and understand concepts such as who does what, it is easier for the board to have discussions in this area.

*Board & Administrator* can also be a valuable resource on roles and responsibilities because it regularly discusses board/staff contact and roles.

The concept of a self-correcting board can eventually become cultural in that the officers and chair are the mentors to new board members. There should be a progression to leadership positions of board members who “get it” about roles.

For example, if a board member has served on the executive committee and hears of some back-channel communication with staff taking place, he or she can point out that the board member involved should talk to the chair about that.

A board should be up front about those types of conversations. Board problems are the board’s to correct. ■

## Boards need a meeting attendance policy

Inactive board members are a board team problem. For one thing, inactives don’t shoulder their fair share of the workload, resulting in more work for others.

That’s a strong reason for the board to establish and enforce a meeting attendance policy. All new, current and prospective board members should understand the policy.

As a second step in improving meeting attendance, the board chair should counsel those with spotty attendance and encourage them to be more active in their board service.

If these steps don’t help fix the problem, the board chair should suggest those nonattending members resign from the board or work to find another way to engage them. ■

## Don’t let bylaws get ‘dusty’

In “The 15 Most Common Nonprofit Bylaw Pitfalls: How to Avoid the Traps,” Venable LLP suggests keeping a pulse on the bylaws once they’ve been amended.

“After engaging in a bylaw amendment process, make sure that your bylaws do not become dusty,” Venable writes. “Some nonprofits maintain a standing bylaws committee com-

posed of board members that can speak up at meetings when issues implicating the bylaws are discussed. Other organizations place the bylaws as an agenda item at each annual meeting of the board of directors, to prompt consideration.”

For more information, go to <http://goo.gl/KWZjEe>. ■

**NCAF'S 2018 LEGISLATIVE  
CONFERENCE  
MARCH 20 - 23, 2018  
WASHINGTON, DC.**



FHSA  
2018 CONFERENCE  
& EXPO

*Creating Connections  
Enhancing Lives*

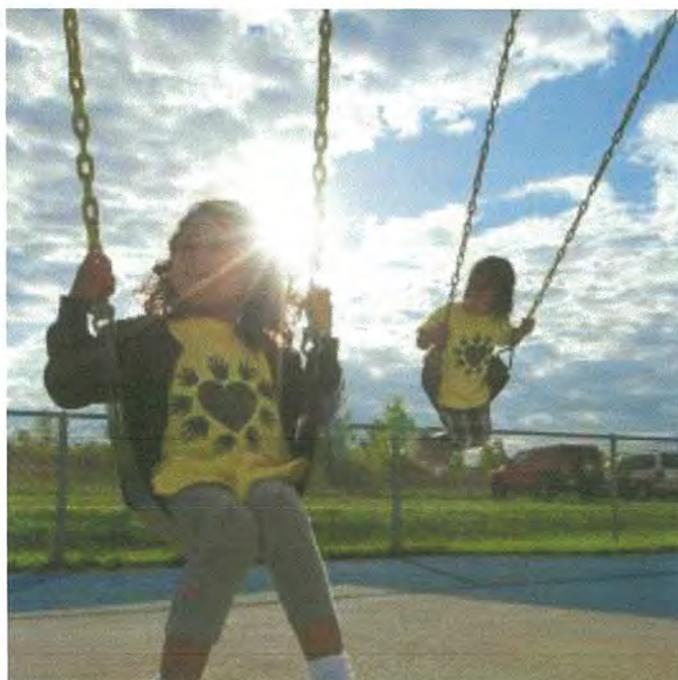


APRIL 16 - 19 | ORLANDO, FL

# 45th Annual National Head Start Conference and Expo

Anaheim, CA

APRIL 23 – 27, 2018



**Florida Association for Community Action**

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# FACA 38TH ANNUAL TRAINING CONFERENCE

MAY 15 – MAY 18, 2018

Embassy Suites by Hilton Tampa - Near USF



# 2018 CAPLAW NATIONAL TRAINING CONFERENCE

JUNE 20 – JUNE 22, 2018

ALBUQUERQUE CONVENTION CENTER

ALBUQUERQUE, NM



# COMMUNITY ACTION PARTNERSHIP

## **2018 Annual Convention**

AUGUST 28 – AUGUST 31, 2018

SHERATON DOWNTOWN DENVER HOTEL

DENVER, CO



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)



# 2018 BOARD ORIENTATION & ACTION ITEMS



Saturday, February 24, 2018  
Chain O' Lakes Complex • 200 Cypress Gardens Blvd. • Winter Haven, FL

**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  
 Ft. Pierce, FL 34950  
 (772) 466-2631  
 Toll Free: 1 (800) 791-3099  
 Fax: (772) 464-3035



**WELCOME MESSAGE FROM THE CEO**

On behalf of the ALPI Board of Directors under the leadership of Mr. William Holt, Board Chairperson, it is with great pride that I welcome you to The Agricultural and Labor Program, Inc. 2018 Shared Governance Orientation Session.

The purpose of the Shared Governance Orientation Session is to provide newly elected and experience Board members, Head Start/EHS Policy Council Members and Regional Advisory Council Members with an overview of the agency's governance practices

and regulatory requirements to ensure ongoing effective management oversight of the agency's governance practices by the Board of Directors and active participation in the decision-making process by the Head Start/EHS Policy Council and Regional Advisory Councils when applicable.

This formal Shared Governance Orientation session is the first step to ensure that board members, Head Start/EHS Policy Council Members, and Regional Advisory Council Members are active, engaged, educated, and ready to move forward collectively, in a participatory democracy, self-determination and genuine shared governance partnership manner.

I applaud your participation and "Thank You" for coming.

Sincerely,

Deloris Johnson  
 Chief Executive Officer





**BOARD OF DIRECTORS MEETING  
FEBRUARY 24, 2018  
AGENDA**

|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 12:00 PM – 1:00 PM | <p><b>BOARD OF DIRECTORS MEETING</b><br/> <i>Facilitator: Deloris Johnson, CEO</i><br/> <i>Participants: Board of Directors</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                    | <p><b>ACTION ITEMS FOR BOARD REVIEW &amp; APPROVAL</b><br/> <i>Presiding: William Holt, Chairperson</i><br/> <i>Participants: Board of Directors</i></p> <ol style="list-style-type: none"> <li>1. Call To Order</li> <li>2. Mission Statement</li> <li>3. Roll Call</li> <li>4. Action Items <ul style="list-style-type: none"> <li>➤ 2018 Proposed Board Task &amp; Timelines</li> <li>➤ 2018 Proposed Board Committee Assignments</li> <li>➤ 2018 Proposed Board Meeting Calendar</li> <li>➤ Funding Opportunities (2018/2019) <ul style="list-style-type: none"> <li>• Senior Connection/EHEAP Contract (Ratify)</li> <li>• CSBG Notice of Funding</li> <li>• ESG Increased Funding</li> <li>• LIHEAP Modification</li> </ul> </li> <li>➤ CSBG: Community Action Plan</li> <li>➤ Training and Professional Development Representation <ul style="list-style-type: none"> <li>• 2018 Conference/Meetings/Events</li> </ul> </li> </ul> </li> <li>5. Other Business <ul style="list-style-type: none"> <li>➤ ALPI Deputy Director Replacement Recommendation</li> <li>➤ ERSEA Update (Powerpoint)</li> </ul> </li> </ol> |
| 1:00 PM            | <b>Meeting Adjourned</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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- Head Start/Early Head Start Policy Council Roster
- Regional Advisory Council Rosters
- Management Directory

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- Meeting Minutes (Sample)
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- Indirect Cost Allocation
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- Election of Board Members/Officers Procedures
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- [CEO Compensation Regulation](#)
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- Meeting Minutes (Sample)
- Election of Policy Council Members/Officers Procedures
- Annual Meeting Report (See 2018 Annual Corporate Meeting & Luncheon Booklet)
- Advisory, Policy Committee & Policy Council Handbook (see Agency and Shared Governance Policies and Procedures Section)

#### • Advisory Councils

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- Committee Assignments (Sample)
- Meeting Attendance Format (Sample)
- Meeting Report Form (sample)
- Corporate Membership Application
- Advisory, Policy Committee & Policy Council Handbook (see Agency and Shared Governance Policies and Procedures Section)
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- See Marketing Packet (under separate cover)

#### 8. **PROPOSED SHARED GOVERNANCE TASK AND TIMELINES**

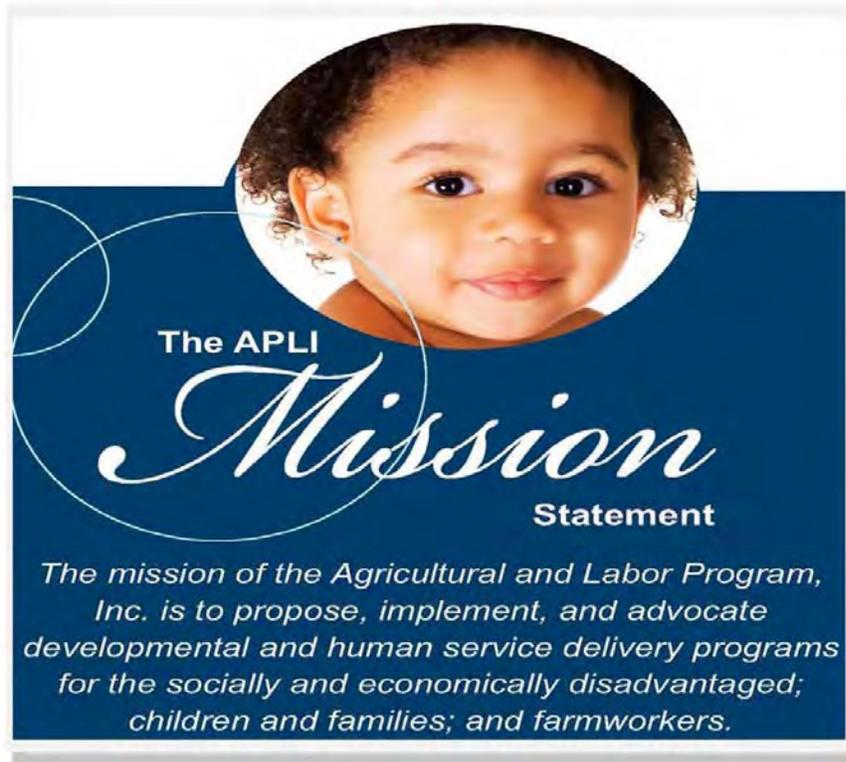
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- Head Start/Early Head Start Policy Council
- Advisory Councils

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- Shared Governance Meetings/Events

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- Training & Professional Development Opportunities
- Local, State, Regional & National Memberships
- Proclamations and Official Greetings (See 2018 Annual Corporate Meeting & Luncheon Booklet )



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.*

**The Agricultural and Labor Program, Inc.  
2018 Board of Directors  
Attendance Y-T-D Summary**

| Name                                        | Jan 2018 closeout | Feb Orientation & Board Mtg | Mar | Apr | May | June | July | Aug | Sept | Oct | Nov | Dec | Jan 2019 closeout |
|---------------------------------------------|-------------------|-----------------------------|-----|-----|-----|------|------|-----|------|-----|-----|-----|-------------------|
| Katie Clarke                                | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Stacy Campbell-Domineck                     | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Sheila Dixon                                | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Patricia Gamble                             | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Marjorie Gaskin                             | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Barbara Grace                               |                   |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Marva Hawkins                               | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| LaVita Holmes                               | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| William Holt                                | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Josephine Howard                            | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Kim Johnson                                 | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Annette Jones                               | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Glenda Jones                                | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Chester McNorton                            | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Vernon McQueen                              | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Annie Robinson                              | P                 | TERM EXPIRED                |     |     |     |      |      |     |      |     |     |     |                   |
| Kimberly Ross                               | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Samuel Thomas                               | A                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Shannyn Serrano                             | A                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| David Walker                                | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Ruby Willix                                 | P                 |                             |     |     |     |      |      |     |      |     |     |     |                   |
| Grace Miller<br>Board Emeritus (non-voting) |                   |                             |     |     |     |      |      |     |      |     |     |     |                   |
| <b>TOTAL PRESENT</b>                        | 18                |                             |     |     |     |      |      |     |      |     |     |     |                   |

P = Present

E= Excused

A= Absent

 = No Meeting Held

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



| TASK(S)                                                                                                             | ACTION ITEM | TRAINING | SPECIAL EVENT | Committee(s)/ Person Assigned |
|---------------------------------------------------------------------------------------------------------------------|-------------|----------|---------------|-------------------------------|
| <b>FEBRUARY</b>                                                                                                     |             |          |               |                               |
| 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                 |
| Review and Approve Board Meeting Action Items                                                                       | X           |          |               | Full Board                    |
| Confirm elections and review Advisory Council Meeting Schedules                                                     | X           |          |               | CEO, Bd Chair                 |
| Review Fundraising State Certification                                                                              | X           |          |               | CEO, Bd Chair                 |
| <b>MARCH</b>                                                                                                        |             |          |               |                               |
| 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"> <li>• Performance</li> <li>• Reimbursement</li> </ul> | X           |          |               | CEO, Bd Chair, PP             |
| Approve proposed grant applications                                                                                 | X           |          |               | CEO, Bd Chair, PP             |
| Representation for Upcoming Conferences/Meetings/Events                                                             | X           | X        | X             | TBA                           |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



| APRIL                                                                                                                                       |   |   |   |                    |
|---------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|--------------------|
| Board Meeting/ALPI Sites Visit                                                                                                              | X |   |   | CEO, Bd Chair      |
| Discuss 2019 Preliminary Operating Budget                                                                                                   | X |   |   | CEO, Bd Chair, B/F |
| Establish Annual Picnic Plan/Budget                                                                                                         | X |   |   | CEO, Bd Chair, SE  |
| Approve 2018 Auditing Firm                                                                                                                  | X |   |   | CEO, Bd Chair, B/F |
| Review Board Recognition/Appreciation Awards Plan<br>* Identify CEO Annual Award for 2019                                                   | X |   |   | CEO, Bd Chair, SE  |
| Review Head Start/EHS 2018-2019 Program Goals and Objectives                                                                                | X |   |   | CEO, PP            |
| Review community target areas to be served by ALPI Head Start/EHS in 2017-2018                                                              | X |   |   | CEO, PP            |
| Review ALPI Head Start/EHS 2018-2019 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 2017-2018 Self-Assessment Results and QIP                                                                             | X |   |   | CEO, PP            |
| Review ALPI Head Start/EHS 2018-2019 criteria for recruitment, selection and enrollment priorities                                          | X |   |   | CEO, PP            |
| Review Agency 2017-2018 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Review Board Fundraising Report                                                                                                             | X |   |   | CEO, Bd Chair, B/F |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



| TASK(S)                                                                                                                                                                                        | ACTION ITEM | TRAINING | SPECIAL EVENT | Committee(s)/ Person Assigned |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------|---------------|-------------------------------|
| <b>MAY</b>                                                                                                                                                                                     |             |          |               |                               |
| Finalize Annual Picnic Plan/Budget<br>• 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<br>• Performance<br>• Reimbursement<br>• In-Kind Match                                                                                                             | X           |          |               | CEO, Bd Chair, PP             |
| Approve proposed grant applications                                                                                                                                                            | X           |          |               | CEO, Bd Chair, PP             |
| Representation for Upcoming Conferences/Meetings/Events                                                                                                                                        | X           | X        | X             | TBA                           |
| <b>JUNE</b>                                                                                                                                                                                    |             |          |               |                               |
| 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<br>• Award Presenters<br>• Keynote Speaker Criteria<br>• Annual Meeting Program Agenda Content<br>• 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<br>• Performance<br>• Reimbursement<br>• In-Kind Match                                                                                                              | X           |          |               | CEO, Bd Chair, PP             |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



|                                                         |   |   |   |                    |
|---------------------------------------------------------|---|---|---|--------------------|
| Review Board Fundraising Report                         | X |   |   | CEO, Bd Chair, B/F |
| Approve proposed grant applications                     | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events | X | X | 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

**SEPTEMBER**

|                                                                    |   |  |  |                   |
|--------------------------------------------------------------------|---|--|--|-------------------|
| Board Meeting                                                      | X |  |  | CEO, Bd Chair     |
| Review CEO Performance Evaluation Procedures & Instrument for 2017 | X |  |  | CEO, Bd Chair     |
| Review Strategic Plan Status                                       | X |  |  | CEO, Bd Chair, PP |
| Review Risk Management Assessment Checklist                        | X |  |  | CEO, PP           |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



|                                                                                                                                             |   |   |   |                    |
|---------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|--------------------|
| Identify Board Nominees for 2019 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 2018-2019 Policy Council (identify future members)                                                       | X |   |   | CEO, EC            |
| Approve Head Start/EHS Policy Council 2018-2019 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"> <li>• Performance</li> <li>• Reimbursement</li> <li>• Inkind Match</li> </ul> | X |   |   | CEO, Bd Chair, PP  |
| Approve proposed grant applications                                                                                                         | X |   |   | CEO, Bd Chair, PP  |
| Representation for Upcoming Conferences/Meetings/Events                                                                                     | X | X | X | TBA                |

OCTOBER

|                                                                                                                                                                                                                                                       |   |  |  |                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|--|--------------------|
| Send out 1 <sup>st</sup> Annual Meeting Notices <ul style="list-style-type: none"> <li>• Corporate Sponsorship Solicitation</li> <li>• Greetings and Proclamation Solicitation</li> <li>• Finalize Contract Negotiations (Speakers, Venue)</li> </ul> | 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 |
| Review Y-T-D Grant Reports <ul style="list-style-type: none"> <li>• Performance</li> <li>• Reimbursement</li> <li>• In-Kind Match</li> </ul>                                                                                                          | X |  |  | CEO, Bd Chair, PP  |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



|                                                         |   |   |   |                   |
|---------------------------------------------------------|---|---|---|-------------------|
| Approve proposed grant applications                     | X |   |   | CEO, Bd Chair, PP |
| Representation for Upcoming Conferences/Meetings/Events | x | X | 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 |
| 2019 Annual Meeting Luncheon Program <ul style="list-style-type: none"> <li>Identify Program Participants</li> <li>Include Bio of Awards Recipients in Program</li> </ul> | 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 2017 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 <ul style="list-style-type: none"> <li>Performance</li> <li>Reimbursement</li> <li>In-Kind Match</li> </ul>                                    | 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  
2018 TASKS AND TIMELINES



| DECEMBER                                                                                                                                                                      |   |  |   |                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|---|--------------------|
| Annual Meeting Notices (follow-up)<br>• Corporate Sponsorship Solicitation<br>• Greetings and Proclamation Solicitation<br>• Finalize Contract Negotiations (Speakers, Venue) | X |  |   | CEO                |
| Distribute Annual Meeting Invitations                                                                                                                                         | X |  |   | CEO                |
| Review programs' quarterly monitoring reports                                                                                                                                 | X |  |   | CEO, PP            |
| Review 2018 Draft Corporate Annual Report                                                                                                                                     | X |  |   | CEO, Bd Chair, SE  |
| Review Financial Reports                                                                                                                                                      | X |  |   | CEO, Bd Chair, B/F |
| Review Y-T-D Grant Reports<br>• Performance<br>• Reimbursement<br>• 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 2019                                                                                                                                                                  |   |  |   |                    |
| 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<br>• Highlight recipients on website                                                                                              | X |  |   | CEO                |
| Review Financial Reports                                                                                                                                                      | X |  |   | CEO, Bd Chair, B/F |

PROPOSED BOARD OF DIRECTORS  
2018 TASKS AND TIMELINES



|                                                                                                                                              |   |  |  |                    |
|----------------------------------------------------------------------------------------------------------------------------------------------|---|--|--|--------------------|
| Review Y-T-D Grant Reports <ul style="list-style-type: none"> <li>• Performance</li> <li>• Reimbursement</li> <li>• In-Kind Match</li> </ul> | X |  |  | CEO, Bd Chair, PP  |
| Review Board Fundraising Report                                                                                                              | X |  |  | CEO, Bd Chair, B/F |
| Approve proposed grant applications                                                                                                          | X |  |  | CEO, Bd Chair, PP  |

## 2018

## Proposed Board Standing Committees

| BYLAWS                                                                                                                                                                                                     | FINANCE                                                                                                                                                                                                               |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| VACANT, Chair<br>Katie Clarke<br>Sheila Dixon<br>Gena Spivey<br><b>PaHoua Lee-Yang, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m.                                                   | Marjorie Gaskin, Chair<br>David Walker<br>Josephine Howard<br>Vernon McQueen<br>Stacy Campbell-Domineck<br>Annette Jones<br><b>Dennis Gniewek, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 a.m. |
| PROGRAM PLANNING                                                                                                                                                                                           | MEMBERSHIP                                                                                                                                                                                                            |
| Vernon McQueen, Chair<br>Chester McNorton<br>Samuel Thomas<br>Barbara Grace<br><b>Al Miller, Staff Liaison</b><br><b>Myrna Rodriguez, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m. | Patricia Gamble, Chair<br>Sheila Dixon<br>LaVita Holmes<br>Terry Wellington<br>Shannyn Serrano<br><b>Cheryl Burnham, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 a.m.                           |
| SPECIAL EVENTS                                                                                                                                                                                             | GOVERNMENT AFFAIRS                                                                                                                                                                                                    |
| Marva Hawkins, Chair<br>Glenda Jones<br>Kimberly Ross<br>Ruby Willix<br>Constance Griffin<br><b>Aletta Stroder, Staff Liaison</b><br>Standard Meeting Day & Time: Friday @ 7:00 p.m.                       | Josephine Howard, Chair<br>Glenda Jones<br>Kim Johnson<br>Chester McNorton<br>Constance Griffin<br><b>Christine Samuel, Staff Liaison</b><br>Standard Meeting Day & Time: Saturday @ 9:00 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  
 Patricia Gamble  
 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.**  
**2018 Board Meeting**  
**Meeting Calendar**  
**(Proposed)**



|                                                                                                                                                                                     |                                                                                                                                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| <b>JANUARY, 2018</b>                                                                                                                                                                | <b>FEBRUARY, 2018</b>                                                                                                                    |
| 26 Board Awards Reception<br><br>27 Close-out Board of Directors Meeting<br>Corporate Membership Meeting<br>Annual Corporate Meeting & Luncheon<br><br><b>Rosen Centre- Orlando</b> | 24 Shared Governance Orientation<br><br><br><br><b>Chain O' Lakes - Winter Haven</b>                                                     |
| <b>APRIL, 2018</b>                                                                                                                                                                  | <b>JUNE, 2018</b>                                                                                                                        |
| 27 Executive Committee Meeting<br><br>28 Board of Directors Meeting<br><br><b>Chain O'Lakes- Winter Haven</b>                                                                       | 22 Executive Committee Meeting<br><br>23 Board of Directors Meeting<br><br>23 Annual Agency Family Picnic - (Northern)<br><br><b>TBA</b> |
| <b>SEPTEMBER, 2018</b>                                                                                                                                                              | <b>NOVEMBER, 2018</b>                                                                                                                    |
| 21 Executive Committee Meeting<br><br>22 Board of Directors Meeting<br><br><b>Chain O' Lakes - Winter Haven</b>                                                                     | 16-18 Board of Directors'<br>Management Planning Retreat<br><br><br><b>TBA</b>                                                           |
| <b>DECEMBER, 2018</b><br>(If Applicable)                                                                                                                                            |                                                                                                                                          |
| <b>JANUARY 2019</b><br>(TBA)                                                                                                                                                        |                                                                                                                                          |

**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.



February 8, 2018

Ms. Deloris Johnson, Chief Executive Officer  
 The Agricultural and Labor Program, Inc.  
 300 Lynchburg Road  
 Lake Alfred, FL 33850

**Re: Notice of Award of 2018-2019 EHEAP Funds - Polk**

Dear Ms. Johnson:

Senior Connection Center, Inc. (SCC) has approved an award of 2018-2019 Emergency Home Energy Assistance Program (EHEAP) funds to The Agricultural and Labor Program, Inc. for Polk County in the amount(s) shown below. This award is based on continuation level funding and the approved funding formula.

|                                         |                     |
|-----------------------------------------|---------------------|
| EHEAP – Administration                  | \$1,431.00          |
| EHEAP – Outreach                        | \$15,553.00         |
| EHEAP – Benefits                        | \$83,709.00         |
| EHEAP – Weather Related/Supply Shortage | \$2,304.00          |
| <b>Total EHEAP</b>                      | <b>\$102,997.00</b> |

Enclosed are two (2) copies of your contract. Please sign, date and return both copies of the contract to Phil Hollister, Director of Contracts and Quality Assurance. **It is important that both parties be able to execute the enclosed contracts before March 31, 2018.** If you will have any difficulty meeting this deadline, please contact Phil immediately at extension 5589.

We appreciate the efforts of your agency in providing these important services to elderly consumers, and your assistance in executing these contracts.

Sincerely,

Charlotte K. McHenry  
 President/CEO

cc: Phil Hollister, Director of Contracts and Quality Assurance

Enclosure(s)

April 2018

Contract No. EH-18/19-ALPI

**PROGRAM AND SERVICE CONTRACT  
EMERGENCY HOME ENERGY ASSISTANCE PROGRAM**

**THIS CONTRACT** is entered into between Senior Connection Center, Inc., hereinafter referred to as the "agency", and The Agricultural and Labor Program, Inc., hereinafter referred to as the "subrecipient." This contract is subject to all provisions contained in the MASTER CONTRACT executed between the agency and the subrecipient, Contract No. M-18/20-ALPI, and its successor, incorporated herein by reference.

In consideration of the services to be performed and payments to be made, together with the mutual covenants and conditions hereinafter set forth, the parties agree as follows:

**1. Services to be Provided**

The subrecipient agrees to plan, develop, and accomplish the services delineated, or otherwise cause the planning, development, and accomplishment of such services and activities, under the conditions specified and in the manner prescribed in ATTACHMENT I of this contract.

**2. Effective Dates**

(1) This contract shall begin on April 1, 2018 or on the date the contract has been signed by both parties, whichever is later.

(2) Delivery of services shall end on March 31, 2019. This contract shall end on June 30, 2019, in order to provide for the maximization of resources and to allow greater flexibility to pay for services rendered on or before March 31, 2019. Services provided after March 31, 2019 cannot be reimbursed under this contract.

**3. Contract Amount**

The agency agrees to pay for services according to the conditions of ATTACHMENT I an amount not to exceed \$102,997.00, subject to the availability of funds.

**4. Obligation to Pay**

The agency's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature passed through the Department of Elder Affairs to the agency, and the subrecipient strictly performing the terms and conditions of this contract.

**5. Source of Funds**

The costs of services paid under any other contract or from any other source are not eligible for reimbursement under this contract. The funds awarded to the subrecipient pursuant to this contract are in the state grants and aids appropriations and consist of the following:

| Program Title                                  | Funding Source                               | CFDA # | Fund Amounts        |
|------------------------------------------------|----------------------------------------------|--------|---------------------|
| Emergency Home Energy Assistance Program       | U.S. Department of Health and Human Services | 93.568 | \$102,997.00        |
| <b>TOTAL FUNDS CONTAINED IN THIS CONTRACT:</b> |                                              |        | <b>\$102,997.00</b> |

April 2018

Contract No. EH-18/19-ALPI

**6. Final Budget Revisions and Request for Payment**

(1) Final requests for budget revisions or adjustments to contract funds based on expenditures for services provided through **March 31, 2019** must be submitted to the agency by **March 31, 2019**.

(2) The subrecipient must submit the final request for payment invoice to the agency by **April 15, 2019**. If the subrecipient fails to do so, all right to payment is forfeited, and the agency will not honor any requests submitted after the aforesaid time period. Any payment due under the terms of this contract may be withheld until all reports due from the subrecipient, and necessary adjustments thereto, have been approved by the agency.

(3) If the contract is terminated prior to the contract end date, the subrecipient must submit the final request for payment to the agency no more than **45 days** after the contract is terminated. If the subrecipient fails to do so, all right to payment is forfeited, and the agency will not honor any requests submitted after the aforesaid time period.

**7. Notice, Contact, and Payee Information**

(1) The name, address, and telephone number of the program manager for the agency for this contract is:

Abbie Walters, Contract Manager  
Senior Connection Center, Inc.  
8928 Brittany Way  
Tampa, Florida 33619  
(813) 740-3888

(2) The name, address, and telephone number of the representative of the subrecipient responsible for administration of the program under this contract is:

Deloris Johnson, Chief Executive Officer  
The Agricultural and Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, Florida 33850  
(863) 956-3491

(3) In the event different representatives are designated by either party after execution of this contract, notice of the name and address of the new representative will be rendered in writing to the other party and said notification attached to originals of this contract.

(4) The name (subrecipient name as shown on page 1 of this contract) and mailing address of the official payee to whom the payment shall be made:

The Agricultural and Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, Florida 33850

**8. Subcontractors and Vendors**

(1) Notwithstanding the pass-through language contained in the Master Contract, the subrecipient maintains responsibility for the performance of all subcontractors and vendors in accordance with all applicable federal (Code of Federal Regulations (CFR) Title 45, Chapter XIII, Part 1321.25) and state laws.

April 2018

Contract No. EH-18/19-ALPI

(2) If this contract involves the use of a subcontractor or third party, the subrecipient shall not delay the implementation of its agreement with the subcontractor. If any circumstances occur that may result in a delay for a period of sixty (60) days or more of the initiation of the subcontract or in the performance of the subcontractor, the subrecipient shall notify the agency in writing of such delay.

(3) The subrecipient shall not permit a subcontractor to perform services related to this contract without having a binding subcontractor agreement executed, and an approved Provider Cost Analysis verifying that the subcontractor staff are paid from non-federal resources, unless compensated for such activities by EHEAP. The agency shall not be responsible or liable for any obligations or claims resulting from such action.

(4) For each subcontractor or vendor, the subrecipient shall provide a written statement to the agency as to whether that subcontractor or vendor is a minority vendor, as defined in Section 288.703, F.S.

#### **9. Indemnification**

In addition to the indemnification provisions identified in the Master Contract, the subrecipient shall indemnify, save, defend, and hold harmless the Department of Elder Affairs and its agents and employees from any and all claims, demands, actions, causes of action of whatever nature or character, arising out of or by reason of the execution of this contract, or performance of services provided herein. It is understood and agreed that the subrecipient is not required to indemnify the Department of Elder Affairs for claims, demands, action or causes of action arising out of the negligence of the Department of Elder Affairs. Except to the extent permitted by section 768.28, F.S., or other Florida law, this indemnification provision is not applicable to contracts executed between the agency and state agencies or subdivisions as defined in section 768.28(2), F.S.

#### **10. Renegotiations or modifications**

Modifications of provisions of this contract shall only be valid when they have been reduced to writing and duly signed by both parties. The parties agree to renegotiate this contract if revisions of any applicable laws or regulations make changes in this contract necessary.

#### **11. Termination, Suspension, and Enforcement**

The causes and remedies for suspension or termination of this contract shall follow the same procedures as outlined in the Master Contract.

#### **12. Contract Signatures**

By signing this contract the parties agree that they have read and agree to the entire contract.

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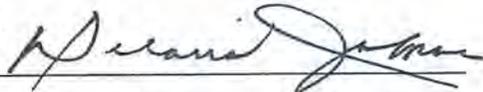
April 2018

Contract No. EH-18/19-ALPI

IN WITNESS THEREOF, the parties hereto have caused this 31 page contract to be executed by their undersigned officials as duly authorized.

**SUBRECIPIENT: The Agricultural and Labor Program, Inc.**

**AGENCY: Senior Connection Center, Inc.**

SIGNED BY: 

SIGNED BY: \_\_\_\_\_

NAME: Deloris Johnson

NAME: Lilly Ho-Pehling

TITLE: Chief Executive Officer

TITLE: Chair, Board of Directors

DATE: February 13, 2018

DATE: \_\_\_\_\_

FEDERAL ID NUMBER: 59-1634148  
SUBRECIPIENT FISCAL YEAR END DATE: 6/30



|                        |            |
|------------------------|------------|
| <b>Date of Notice:</b> | 02/15/2018 |
|------------------------|------------|

### **Notice of Fund Availability (NFA)**

#### **General Information**

|                                                                                       |                                                                                               |
|---------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| <b>Subrecipient's DUNS-Registered Name:</b>                                           | Agricultural and Labor Program, Inc.                                                          |
| <b>Subrecipient's DUNS Number:</b>                                                    | 040210163                                                                                     |
| <b>Federal Awarding Agency:</b>                                                       | U.S. Department of Health and Human Services                                                  |
| <b>Pass-Through Entity:</b>                                                           | Florida Department of Economic Opportunity                                                    |
| <b>Federal Award Identification Number:</b>                                           | G17B2FLCOSR                                                                                   |
| <b>Federal Award Date:</b>                                                            | 10/1/2016 – 9/30/2018                                                                         |
| <b>Total Federal Award to Pass-Through Entity:</b>                                    | G17B2FLCOSR: \$20,501,942                                                                     |
| <b>Catalog of Federal Domestic Assistance Title:</b>                                  | Community Services Block Grant (formula grant)                                                |
| <b>Catalog of Federal Domestic Assistance Number:</b>                                 | 93.569                                                                                        |
| <b>Project Description:</b><br><i>(This is not a research and development award.)</i> | Funding to eligible entities to alleviate the causes and conditions of poverty in communities |
| <b>Action Being Taken:</b>                                                            | Increase Release                                                                              |

#### **Subaward Agreement Information**

|                                 |                      |
|---------------------------------|----------------------|
| <b>Contract Number:</b>         | 17SB-0D-07-63-08-101 |
| <b>Program Year in eGrants:</b> | FFY 2017             |
| <b>FLAIR Grant Number:</b>      | SBG17                |
| <b>FLAIR Contract Number:</b>   | E1921                |
| <b>Award Period Begin Date:</b> | October 1, 2016      |
| <b>Award Period End Date:</b>   | September 30, 2018   |
| <b>Closeout Due By:</b>         | November 30, 2018    |

**Subaward and Fund Availability**

|                         | <b>Subaward<br/>(Federal Funds Committed -<br/>Amount awarded/planned)</b> | <b>Funds Released<br/>(Federal Funds Obligated –<br/>Amount available for draw)</b> |
|-------------------------|----------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| <b>Current:</b>         | \$580,645.44                                                               | \$566,217.44                                                                        |
| <b>This Action:</b>     | \$0                                                                        | \$14,428.00                                                                         |
| <b>Total (Revised):</b> | \$580,645.44                                                               | \$580,645.44                                                                        |

**AWARD TERMS & CONDITIONS  
AND OTHER INSTRUCTIONS****General Conditions:**

Pursuant to paragraph (18)(a) FUNDING/CONSIDERATION, of the Federal Fiscal Year 2017 CSBG Subgrant Agreement by and between DEO and Subrecipient, agreement number 17SB-0D-07-63-08-101 (“the Agreement”), this Notice of Fund Availability (NFA) is notice in writing by DEO that Subrecipient may incur costs and submit for reimbursement in an amount not to exceed the released amount shown above, subject to the terms of the Agreement and any amendments thereto, the availability of funds as determined solely by DEO, the Florida Legislature’s appropriation of funds. The indirect cost rate for this subaward, whether federal or non-federal, will be the federally recognized indirect cost rate negotiated between the Subrecipient and the federal government or, if no such rate exists, either a rate negotiated between DEO and the Subrecipient, or the de minimus rate, if optionally elected by the Subrecipient.

**Other Notes/Comments:****Questions:**

Questions regarding these funds should be addressed to Gerald Durbin at (850) 717-8458 or via email to [gerald.durbin@deo.myflorida.com](mailto:gerald.durbin@deo.myflorida.com).

**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](mailto:admin@alpi.org)  
[www.alpi.org](http://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  
Ft. Pierce, FL 34950  
(772) 466-2631  
Toll Free: 1 (800) 791-3099  
Fax: (772) 464-3035



Brenda Gray  
Executive Director  
Heartland Coalition for the Homeless  
1535 State Road 64 W  
Avon Park, FL 33825

February 19, 2018

Dear Ms. Brenda Gray,

Per your email in regards to the additional fund for the Emergency Solution Grant (ESG), ALPI is ecstatic to accept the additional fund. ALPI's staffs will have no problem completing additional five (5) more intakes each month, to serve the homeless population.

For match purposes, ALPI will be able to match the program from our four (4) counties that we provide Community Services Block Grant (CSBG) and our Low-Income Home Energy Assistance Program (LIHEAP). The report that we send to you on a monthly base states, "Cost Summary" for each programs for the match. ALPI should not have any problem with match.

I thank you for informing ALPI of the additional funds, and ALPI is more than happy to assist Heartland Coalition for the Homeless.

Any questions or comments please contact me at 863-956-3491 Ext. 206 or you can email me at [Djohnson@alpi.org](mailto:Djohnson@alpi.org).

Sincerely,

Deloris Johnson  
Chief Executive Officer



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

**MODIFICATION NUMBER [2] OF AGREEMENT BETWEEN THE  
FLORIDA DEPARTMENT OF ECONOMIC OPPORTUNITY  
FFY 2017 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP) AND  
THE AGRICULTURAL AND LABOR PROGRAM, INCORPORATED**

CFDA Number: 93.568

Agreement Number: 17EA-OF-07-63-08-001

**FEDERALLY FUNDED SUBGRANT AGREEMENT**

THIS MODIFICATION Number [2] is entered into between the State of Florida, Department of Economic Opportunity, with headquarters in Tallahassee, Florida, hereinafter referred to as "DEO," and The Agricultural and Labor Program, Incorporated, a Florida Not For Profit Corporation, hereinafter referred to as "Subrecipient" (each individually a "Party" and collectively "the Parties").

WHEREAS, Paragraph (4)(b) of the Agreement provides that "[m]odifications to this Agreement must be in writing, on DEO-approved forms, as applicable, and duly signed by the Parties"; and

WHEREAS, DEO and Subrecipient have entered into Agreement Number 17EA-OF-07-63-08-001, in which DEO awarded Subrecipient *Four Million Five Hundred Thirty-Seven Thousand Five Hundred Nineteen Dollars and Zero Cents (\$4,537,519.00)* in Low- Income Home Energy Assistance Program (LIHEAP) funds ("the Agreement"); and

WHEREAS, LIHEAP Federal Fiscal Year 2016 carryover and Federal Fiscal Year 2017 funds are available to increase the amount of funding granted to Subrecipient; and

WHEREAS, additional funds have become available to increase the amount of the funding granted to Subrecipient.

NOW, THEREFORE, in consideration of the mutual promises of the Parties contained herein, the Parties agree as follows:

1. Paragraph (3) PERIOD OF AGREEMENT is hereby deleted in its entirety and replaced with the following:  
"This Agreement period begins on **April 1, 2017**, and ends on **September 30, 2020**, unless terminated earlier in accordance with the provisions of this Agreement, including but not limited to, Paragraph (13) of this Agreement. For avoidance of all doubt, notwithstanding anything else herein, including, but not limited to Exhibit 1-A, FUNDING SOURCES, the subaward period of performance starts April 1, 2017 and ends September 30, 2020."
2. Subparagraph (18)(a), FUNDING/CONSIDERATION, is hereby deleted in its entirety and replaced with the following:  
"(a) This is a cost-reimbursement agreement. DEO awards Subrecipient *Four Million Six Hundred One Thousand Three Hundred Forty-Three Dollars and Zero Cents (\$4,601,343.00)*, subject to the terms and conditions of this Agreement, availability of funds and appropriate budget authority; however, Subrecipient may incur costs and submit for reimbursement only up to the Total (Revised) Funds Released dollar amount listed in Subrecipient's most recently DEO-issued Notice of Fund Availability (NFA). Each such NFA, and any attachments thereto, duly issued to

Subrecipient by DEO, including, but not limited to its special terms, conditions, and instructions, is incorporated into the Agreement by reference."

- 3. Attachment J, Budget Summary and Workplan, is hereby deleted in its entirety.
- 4. To the extent there is any conflict between the provisions of this Modification, including any attachments and exhibits thereto, and the provisions of the Agreement, including any attachments and exhibits thereto, the provisions of this Modification shall supersede and control.
- 5. All provisions of the Agreement, including any attachments or exhibits thereto, not amended by or in conflict with this Modification, remain in full force and effect.

IN WITNESS WHEREOF, by signature below, the Parties agree to abide by the terms, conditions, and provisions of the Agreement, as modified. This Modification shall be effective on the date on which the last Party has signed the Modification, whichever is latest.

**SUBRECIPIENT**  
The Agricultural and Labor Program, Incorporated

**STATE OF FLORIDA**  
**DEPARTMENT OF ECONOMIC OPPORTUNITY**

By: *Deloris Johnson*  
(Signature)

By: *Debbie Smiley*

Deloris Johnson, Chief Executive Officer  
(Print/Type Name and Title Here)

Debbie Smiley, Chief  
Bureau of Economic Self-Sufficiency

Date: 1-5-18

Date: 2/2/18

59-1634148  
Federal Identification Number

Approved as to form and legal sufficiency, subject only to full and proper execution by the Parties.

040210163  
DUNS Number

Office of the General Counsel  
Department of Economic Opportunity

17EA-0F-07-63-08-001  
Agreement Number

By: C. Hook

Approved Date: 2-1-2018

5. Other Business



### Community Services Block Grant: Community Action Plan

Submission date: February 24, 2018

Grant Term: 10/01/17 through 09/30/18

**Agency Contact Person Regarding the Community Action Plan:**

**Name:** Deloris Johnson  
**Title:** Chief Executive Officer  
**Phone:** (863) 956-3491, Ext. 206  
**Email:** DJohnson@ALPI.ORG

**Certification of Community Action Plan and Assurances**

The undersigned hereby certify that this agency complies with the Assurances and Requirements of this FY 2016 Community Action Plan (CAP) and the information in this CAP is correct and has been authorized by the governing body of this organization.

\_\_\_\_\_  
Board Chairperson

\_\_\_\_\_  
Date

\_\_\_\_\_  
Executive Director

\_\_\_\_\_  
Date

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## Agency Information

Official Name: The Agricultural and Labor Program, Incorporated (ALPI)

Address: 300 Lynchburg Rd.,

Lake Alfred, FL 33850

Phone: (863) 956-3491

Website: [www.alpi.org](http://www.alpi.org)

Director: Deloris Johnson, Chief Executive Officer

Board Chair: William Holt

### Community Action Agency

Local Government \_\_\_\_\_

Farmworker Organization \_\_\_\_\_

Nonprofit  X

## Geographic Service Area

The Agricultural and Labor Program, Incorporated (ALPI) operates an anti-poverty program in accordance with the Community Services Block Grant Act through funds allocated by the Executive Director of the Florida Department of Economic Opportunity and the U.S. Department of Health and Human Services.

*The geographic services area includes (i.e. list counties covered):*

- *Polk*
- *Glades*
- *Highlands*
- *Hendry*

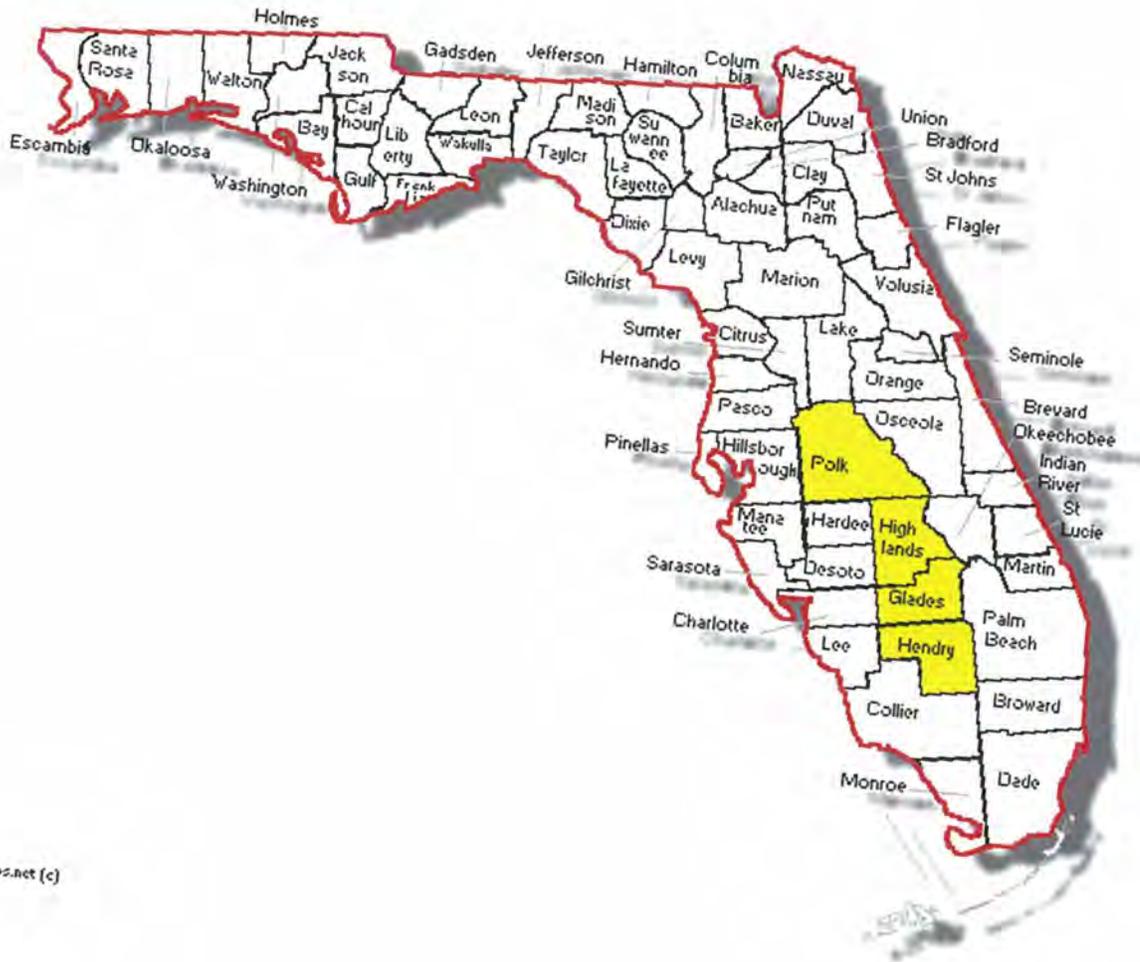
*Main offices:*

*300 Lynchburg Rd.  
Lake Alfred, FL 33850*

Satellite offices:

See listing of Outreach Offices in the Appendix

**Geographic Service Area map**



**Vision Statement**

The Vision Statement describes a desired future based on your agency’s values. The vision is broader than what any one agency can achieve; the agency collaborates with others in pursuit of the vision.

**Date:** December 2007

(Enter the month/year when the Vision Statement was reviewed and approved by the tripartite board)

*"ALPI is resoundingly committed to: (1) addressing individual, family, and community needs; (2) providing quality integrated services delivered in partnership with local service providers; (3) promoting the health and well-being of children and their families; and, (5) providing support and services to assist individuals to become self-sufficient."*

## **Mission Statement**

The Mission Statement describes the agency's reason for existence and may state its role in achieving its vision.

**Date:** December 2007

(Enter the month/year when the Mission Statement was reviewed and approved by the tripartite board)

*"To propose, implement, and advocate developmental and human service delivery programs for the socially and economically disadvantaged, children and families, and farmworkers."*

## **Community Needs Assessment**

### **Most recent Community Needs Assessment**

**Date:** December 2014

(Enter the month/year when the CNA was approved by the tripartite board)

**Timeframe:** July 2014 through June 2016

(enter the timeframe the CNA covers)

**Date CNA was sent to DEO:** 2015

**Attached:** Yes/**No**

### **Next Community Needs Assessment**

**Date:** December 2017

(Enter the month/year when the CNA will begin)

**Timeframe:** July 2016 through June 2017

(enter the timeframe the CNA covers)

The narrative description provided for the needs assessment serves as the basis for the agency's goals, problem statements, and program delivery strategies of the CSBG/National Performance Indicators. The needs assessment should describe local poverty-related needs and prioritize eligible activities to be funded by CSBG.

Agency needs assessments shall identify the processes used to collect the most applicable information. In particular, describe how the agency ensures that the needs assessment reflects the current priorities of the low-income population in the service area, beyond the legal requirement for a local public hearing of the community action plan.

Please note which combination of activities to perform needs assessments were used, include when and how these activities occurred (circle one or more; provide details):

1. Focus groups - N/A

2. Asset Mapping – N/A

**3. Surveys** – During the community needs assessment process, ALPI prepares written questionnaires or surveys for completion by clients, business leaders, board members, community members, etc. These are mailed out to the various responders for completion. The responders are requested to send the completed questionnaires to the University of Florida, specifically the Florida Survey Research Center, for compiling and completing the final report of the results of the surveys. Once completed, the Surveys are summarized and submitted to the ALPI Board of Directors in a published report. That report is then reviewed by the Board of Directors through the Program Planning Committee and made available to the general public.

4. Community Dialogue – N/A

**5. Interviews** – Throughout the year, clients are offered opportunities through one-on-one interviews with staff to provide information on the needs of the community. This is also handled through our Regional Advisory Councils. Based on the feedback, programs may be adjusted throughout the year to better address an identified need.

**6. Public Records** – ALPI utilizes the most recent updated Census data to better identify the community needs. ALPI also reviews Community Needs Assessments published by other Social Service Agencies to aid in better identifying the needs of the communities wherein ALPI provides services.

## Define Your Community Needs Assessment Process:

- 1. How do you conduct your needs assessments?** *(In this section please indicate the methods and strategies used by the agency to identify and assess CSBG-related family and community-level needs. Describe any intensive or "non-routine" needs assessment activities undertaken in preparation for the program year.)*

Bi-annually, ALPI conducts a community needs assessment survey in all of the areas where it provides services. The survey is distributed to clients, community leaders, organizations, governmental agencies, etc. This provides ALPI with information as to what the community, in general, believe to be its greatest needs. In 2014, the Florida Survey Research Center (FSRC) was retained to conduct ALPI's Community Needs Assessment. The Survey Instrument was a four page booklet designed to promote high response rates including a cover letter and a postage paid return envelope. Approximately 3,000 survey packets were distributed and the responses were compiled by FSRC using the SAS statistical analysis package. In order to ensure the data most accurately represented the true population, responses were weighted to reflect actual population demographics and to more closely mirror the true population of interest. The primary focus of the survey was to identify "unmet needs" of the communities in which ALPI provided services. The results of the assessment were reported in 2014 and comprise the basis for this section of ALPI's Community Action Plan.

- 2. How is your CNA data coordinated with other needs assessment data within your agency?** *(Indicate how the collection and assessment of family and community-level needs data is coordinated on an agency-wide or organization-wide basis.)*

Once collected and compiled by an independent organization, the needs assessment results are provided, in a written report, to ALPI. ALPI senior management staff review the reported results and share that information with the Board of Directors at its annual planning retreat in November of each year. Based on the identified needs, ALPI reviews its programs to identify which of the unmet needs can be addressed by ALPI's current service delivery model. This information is shared with staff to accomplish a smooth transition into any new service delivery areas.

- 3. How is your CNA data coordinated with other needs assessment data within the community?** *(Indicate how the collection and assessment of family and community-level needs data is coordinated with other community stakeholders collecting and analyzing similar data.)*

Periodically, ALPI collects and reviews surveys and needs assessments conducted by other organizations within ALPI's service area and beyond. The findings of these assessments are then

compared to ALPI's findings as to unmet needs, etc. Based on this review ALPI may modify its service delivery to better service the unmet needs of the community.

4. **Identify existing gaps or unmet needs identified through the CNA.** Explain how your agency plans to work towards reducing these gaps.

ALPI is currently undergoing its bi-annual community needs assessment process. Accordingly, gaps and unmet needs have not been finalized as of the date of this letter. Below are the unmet needs from our last CNA as the current CNA process is completed, these findings may be changed to correlate with the results of the CNA.

### Describe the findings and results of your Community Needs Assessment

| Top Five Needs                                                   | Agency Priority (Yes/No) | Description of programs/services /activities                                                                                                                     | Coordination                                                                                                              | NPIs                      |
|------------------------------------------------------------------|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 1. Emergency Assistance for Rent, Utilities, Housing, Food, Etc. | Yes                      | CSBG Emergency Assistance; LIHEAP; Fla. Department of Education/Adult Migrant Program Emergency Assistance; and, Florida Non-profit Housing Emergency Assistance | Services are provided directly by ALPI and through sub-recipients which are identified under the Service Delivery Section | 6.2(A) – (K)              |
| 2. Adult Health Insurance                                        | No                       | n/a                                                                                                                                                              | n/a                                                                                                                       | n/a                       |
| 3. Employment/Job Placement                                      | Yes                      | Family Self-Sufficiency Program (FSSP); Job Development Services                                                                                                 | CareerSource                                                                                                              | 1.1(A)-(D)                |
| 4. Home-Ownership Program                                        | No                       | n/a                                                                                                                                                              | n/a                                                                                                                       | n/a                       |
| 5. Job Training                                                  | Yes                      | Family Self-Sufficiency Program (FSSP); Youth Programs                                                                                                           | Local Career Centers; Local Youth Program Providers                                                                       | 1.2(A)&(B)<br>6.3(E)-(I); |

**Narrative:**

- Unmet Need #2: Although not a priority, ALPI assists clients in obtaining Health Insurance primarily through referrals, such as Children and Family Services.
- Unmet Need #4: ALPI is a certified Housing Counseling Agency; however, in recent years its focus has been in Foreclosure prevention and not home-ownership.

**Top Five needs:** list the top five needs from your most recent Needs Assessment

**Agency Priority:** Enter a Yes or No in the box, to indicate if the need will be addressed in the current year either directly or indirectly. If the need will not be met please provide explanation in narrative section.

**Description of programs/services/activities:** Briefly describe the program, service or activity that your entity will directly provide.

**Coordination:** If your agency will address the need through coordination, describe what organizations and/or coalitions you will work with to meet the need, including the roles of each party.

**National Performance Indicators (NPIs):** List the NPIs that correspond with the services/activities

## Service Delivery System

Describe the overall Service Delivery System for services provided with CSBG funds and describe how the CAAs services enhance and/or differ from those offered by other providers, i.e. bundled services—please include specific examples.

### 1. Describe the agency's service delivery system for services provided using CSBG funds. Please include when and how clients enter into your program

Currently, ALPI delivers services through a network of direct and in-direct service providers. For the purposes of this report only, "Direct Services" are defined as services provided directly through ALPI staff and volunteers; whereas "Indirect Services" are provided through Sub-Recipient Agreements with other agencies and organizations.

The primary services provided by ALPI will be some level of Case Management to clients falling within one of three specific target populations (disabled, elderly, or family with children under five) and will be determined by a preliminary assessment of the client's needs and a determination as to whether the client would benefit from Case Management. Case Management will be either short-term or long-term depending upon the needs of the client. Short-term Case Management will be designed to provide minimal services to a client in order to assist him/her in obtaining training, employment, child care, etc. In comparison, Long-Term Case Management will be ALPI's major focus and will be designed as a Family Self-Sufficiency Plan (FSSP). Clients determined to need more intensive case management will be placed into the Long-Term Case Management program (FSSP) and will have a full-time Case Manager assigned to them to assist them in attaining some degree of self-sufficiency.

Prior to being enrolled into Case Management (Short or Long-Term), a client will have received some form of emergency assistance from ALPI or one of its Sub-Recipients. This may include LIHEAP, WIA-167, or any other emergency services available through ALPI or referral. Emergency Assistance will be the first step towards determining the client's need for more extensive self-sufficiency efforts.

### **Target Population**

One of the most critical parts of the CSBG program is the identification of target groups. ALPI will focus on the most vulnerable populations in the communities. It is generally accepted, and supported by demographic information, that those populations are comprised of three groups. These are: (1.) elderly (age 55 and over); (2.) handicapped; and, (3.) families with children under 5 years of age. A subgroup of the families is comprised of single heads of household (usually the mother) with children under five. Such populations are the most vulnerable and the most in need of services. ALPI will target these populations in the delivery of CSBG Services. In the initial screening of applicants, the target groups will be utilized to identify the clients upon which ALPI will focus its services. In addition to targeting the three specific groups, ALPI will offer "pilot" programs on different populations in different locations. These "pilot" programs will have separately identified target groups (i.e.: after school mentoring, agricultural workers, etc.) and will focus on the provision of specific services in order to effect a positive impact on the separate groups. If a "pilot" program does not work or fails to provide the anticipated results, that program may be modified or eliminated in subsequent years.

### **The Communities**

As shown in the demographic information previously summarized in this report, Polk, Highlands, Glades, and Highlands Counties have very unique population characteristics as well as very unique population locations. This has been taken into consideration in identifying potential service areas for obtaining the greatest impact. Through direct or indirect service providers, ALPI will address the needs of each County by targeting specific population and geographic locations.

The uniqueness of each County requires a creative means of service delivery. For the delivery of the Low Income Home Energy Assistance Program (LIHEAP) in Polk County, current contractors provide the bulk of LIHEAP services with ALPI also providing direct LIHEAP services. Contractors provide LIHEAP services in the other five counties served by ALPI through LIHEAP with little or no active provision of services by ALPI staff. This type of system works well for LIHEAP because eligibility and target populations are very specific. Additionally, the amount of monies available for a LIHEAP client is solely driven by family income. One of the goals of this type of model is to supplement other agencies' abilities to meet a greater need for their clients through a "sharing" of the wealth. A similar model will be used for delivery services in both counties with special consideration as to the uniqueness of each county.

**Polk County** - For the provision of CSBG in Polk County, ALPI follows a method of service delivery similar to LIHEAP. Under the CSBG program, ALPI addresses the needs of its communities through a focused effort involving ALPI employees as well as Sub-Recipient agencies. ALPI employs one full-time Case Manager and one full-time Lead Case Manager to deliver Case Management services directly to clients. Additionally, other ALPI staff will be trained in Case Management to meet the short-term needs of many clients as well as provide a "seamless" process for delivering the bulk of ALPI's services. Direct

Services by ALPI staff are primarily offered at the main office in Lake Alfred, the Lakeview Park Community Center in Frostproof, and the New Horizon Farmworker Apartment Complex in Auburndale. Additionally, ALPI staff schedule appointments at the Center for Independent Living (CIL) in Lakeland and, as needed, the Florence Villa Community Development Office in Winter Haven. Through appointments only, ALPI staff will meet with clients to prepare a preliminary assessment of their needs, determine if they would benefit from Case Management, and attempt to assist with any emergency matter such as evictions, power disconnects, etc.

In addition to delivery of services by ALPI staff members, ALPI sub-contracts with five (5) agencies in Polk. These sites are located in an area where the greater need has been identified or a site that is the “hub” for service delivery to a specific target group. This allows services to a more focused area of the county and areas that, historically, have been pockets of poverty. Currently the following sites have been identified for delivering the requisite services.

- a. **Women’s Resource Center, Lakeland** – ALPI partners with the Women’s Resource Center (WRC), located at the Lakeland Volunteers in Medicine (LVIM) Center in North Lakeland. This is geographically located on the outskirts of a low-income area of the County. At this location, WRC provides Case Management to eligible clients through its *Independence You* Program. The target population served at this location is primarily women with children five years of age and under. Case Management services include any service needed by the client to assist them towards Self-Sufficiency.
- b. **Boys and Girls Clubs, Inc., Lakeland** – Through a Sub-Recipient Agreement with the Boys and Girls Clubs (BGC), ALPI is able to provide a “pilot” program in after school mentoring for youth. Additionally, ALPI has access to the youths’ families that may need emergency assistance. Most of the youths’ families fall within one or more of our target population and would, therefore, be eligible for services when needed and available.
- c. **Center for Independent Living, Central Lakeland** – The Center for Independent Living (CIL) is a community organization that provides services to the disabled of Polk County. ALPI’s Sub-Recipient Agreement with CIL allows CIL staff to deliver direct Case Management and Emergency Assistance services to the disabled community. This addresses one of ALPI’s target populations. Additionally, CIL makes payments to vendors on behalf of ALPI’s disabled Case Management clients, whenever necessary.

As the need for other services or locations are identified, the program is modified to meet those needs.

**Glades County** – Most of ALPI’s CSBG Services in Glades County will be provided through one (1) sub-recipient. This agency is able to provide case management services as well as emergency assistance. ALPI staff will provide support when required as well as technical assistance to the provider

in the delivery of services. The provider will be located in Moore Haven. The provider for Glades County and the services to be offered are as follows:

- a. **The Salvation Army, Moore Haven** – The Salvation Army provides case management and emergency assistance to eligible clients Hendry County. ALPI staffs provide technical assistance as well as monitoring throughout the year.

**Highlands County** - In Highlands County, ALPI meets the needs of the community through Sub-Recipient Agreements with local community organizations, as well as, ALPI staff located at the Avon Park Housing Authority complex. ALPI staffs are responsible for overseeing the delivery of services and the tracking of performance by its staff as well as the Sub-Recipient. Regular Case Management and/or emergency assistance is provided through staff following the same procedures as the Case Management program in Polk County. This includes the requirement that a client receive some form of Emergency Assistance prior to being evaluated for enrollment into Case Management.

- a. **Big Brothers/Big Sisters, Sebring** – Big Brothers/Big Sisters (BB/BS) has been a provider of “after school” mentoring services for youth through a Sub-Recipient Agreement. In addition to providing services for a “pilot” program, BB/BS will be able to refer clients in need of Emergency Assistance and/or Case Management to the Coalition for the Homeless or ALPI as appropriate.

**Hendry County** – Most of ALPI’s CSBG Services in Hendry County are provided through two (2) sub-recipients. These agencies are able to provide case management services as well as emergency assistance. ALPI staff provide support when required as well as technical assistance to the providers in the delivery of services. The providers are located on opposite sides of the County to allow for a more focused services delivery. The two provides for Hendry County and their services are as follows:

- a. **The Salvation Army, Labelle (Agency is a Sub-Recipient with ALPI through March 31, 2018)** – The Salvation Army provides case management and emergency assistance to eligible clients in the Labelle area of Hendry County. ALPI staffs provide technical assistance as well as monitoring throughout the year.
- b. **Goodwill** – The Goodwill provides case management and emergency assistance to eligible clients in the Clewiston area of Hendry County. ALPI staffs provide technical assistance as well as monitoring throughout the year.

**4. How do your services/programs differ from those of other providers?** In establishing and maintaining its services, ALPI has focused on a Family Self-Sufficiency Program (FSSP) model of service delivery. Emergency assistance is available but primarily for “dire” emergencies such as court evictions; food; transportation; utility payments when not eligible for LIHEAP services; and, rental assistance.

The FSSP assists individuals and their families in steadily moving towards acquiring the skills and abilities that will allow them to meet their basic needs without further assistance. The primary focus of the FSSP is to stabilize the family's situation thereby allowing them to advance towards self-fulfillment. The stabilization of the situation may be through intensive counseling, assistance with training, enhancement of an individual's employability, or other services deemed appropriate as a result of completing a comprehensive needs assessment and developing an Individual Plan.

**2. List your agencies programs/services/activities funded by CSBG, including a brief description, why these were chosen, how they relate to the CNA, and indicate the specific type of costs that CSBG dollars will support (examples: staff salary, program support, case mgmt., T/TA, etc.)**

ALPI provides services through various funding sources including CSBG, LIHEAP, WIA-167; Head Start; Early Head Start; HUD Housing Counseling; Child and Adult Care Food program; V-PK; and, United Way. Specifically, CSBG Funds are utilized to provide the following services:

**a. Family Self-Sufficiency Services –**

*Brief Description:* The Family Self-Sufficiency Program (FSSP) provides an intensive case management experience for clients. This process begins with an orientation where financial and budgeting training is provided. The process continues through assisting with the payment of tuition, books, uniforms, supplies, and other necessities.

*Why Chosen:* The FSSP was chosen as a direct result of the original focus of CSBG as outlined under ROMA. The program was meant as a means of providing a “hand up” through intensive case management services.

*How this relates to CNA:* Employment/Job placement and job training have, historically, been a top five result in any community needs assessments. Through the FSSP, ALPI becomes a “partner” with the client in helping his/her desires to become less and less reliant upon community assistance.

*Specific Types of Costs:* As summarized in Item 2 above, specific types of costs, in addition to staffing, is tuition assistance; childcare; food; transportation; books; supplies; tuition, etc.

**b. Emergency Assistance Services –**

*Brief Description:* Emergency Assistance services are intended to alleviate an immediate crisis only. However, like FSSP, clients receive an orientation, usually one-on-one, where financial and budgeting training is provided. Based on the services that are needed, ALPI will provide assistance up to \$600 per year. Services may include rental assistance, food, utility assistance, etc. In order to receive a service under this program, there must be an immediate crisis such as court ordered eviction; disconnected utilities; no immediate means of transportation, etc.

*Why Chosen:* Emergency Assistance, although not intended as a “cure all”, is designed to alleviate an immediate concern to preclude a client from becoming homeless. The program is limited in funding and was meant to solve an immediate crisis only.

How this relates to CNA: Emergency Assistance remains the first or second need identified through surveys and assessments.

Specific Types of Costs: Specific types of costs are rental assistance, including first month's; utilities not covered by LIHEAP; and Food.

**c. Youth Mentoring Services –**

Brief Description: Youth services are intended to provide late teens with mentoring services to preclude or reduce the possibility of the youth dropping out of school.

Why Chosen: Although a small component of the CSBG Program, Youth Mentoring Services were chosen as a direct result of various communities needs assessments.

How this relates to CNA: High School Diploma/GED consistently ranks in the top ten community needs.

Specific Types of Costs: The primarily costs with this program is payments to sub-recipients for the provision of case workers to provide the mentoring services.

**d. Work Experience –**

Brief Description: Youth services are intended to provide late teens with mentoring services to preclude or reduce the possibility of the youth dropping out of school.

Why Chosen: Although a small component of the CSBG Program, Youth Mentoring Services were chosen as a direct result of various communities needs assessments.

How this relates to CNA: High School Diploma/GED consistently ranks in the top ten community needs.

Specific Types of Costs: The primarily costs with this program is payments to sub-recipients for the provision of case workers to provide the mentoring services.

**Other Services:**

In addition to the above services funded through CSBG, ALPI provides numerous other programs in its designation counties as well as other counties around the State. Following is a summary of those services as well as how they are funded.

**a. Head Start/Early Head Start –**

Brief Description: ALPI is designated as the Head Start Agency for St. Lucie County and is funded to provide Head Start and Early Head Start Services in that County. Additionally, ALPI is funded for the provision of Early Head Start Services in the Frostproof area of southern Polk County.

Why Chosen: Head Start and Early Head Start services were chosen for the identified areas due to an obvious need. At the time of ALPI's designation as the Head Start/Early Head Start provider, the areas served did not provide any such services even though the services were located in some of the poorest areas of the State.

How this relate to CNA: Head Start/Early Start Services are consistently seen in the service delivery areas as a great need to provide the children with an opportunity to succeed when they begin kindergarten and first grade. Additionally, many needs assessments repeatedly identify early childhood education as one of the areas greatest needs.

Specific Types of Costs: The costs associated with the provision of Head Start/Early Start services range from teaching staff through medical evaluations, student assessments and the provision of a safe location for the children enrolled into the programs.

**b. Childcare and Afterschool Mentoring Services –**

Brief Description: Through grants received from statewide consortiums, ALPI is able to provide childcare and afterschool mentoring services to families in need. These are provided through the operation of childcare centers (owned and contracted) as well as sub-agreements with other community organizations in St. Lucie and Polk Counties.

Why Chosen: ALPI chose to provide these services as a direct result of its community needs assessments as well as the delivery of Head Start/Early Head Start Services. There is a specific need for these types of programs to support families.

How this relates to CNA: Such programs repeatedly show up on Community Needs Assessments as a top ten need. Additionally, the program provides a means of support to the families that would otherwise make the families more and more reliant of social services programs. Without such services, families may even encounter employment issues if they are unable to provide childcare services for some of their younger children.

Specific Types of Costs: The costs associated with the provision of childcare and child mentoring programs include the cost of qualified attendants, teachers, administrative staff, supplies, books, etc. Costs may also include a safe location for children during their parents' working hours.

**c. Low Income Home Energy Assistance Program Services -**

Brief Description: ALPI is the designated Low Income Home Energy Assistance Program (LIHEAP) provider in seven (7) counties, including the four (4) counties where it is also the designated Community Action Agency. Through this program, ALPI is able to provide home energy and emergency energy assistance to low income families.

Why Chosen: ALPI chose to become the LIHEAP Provider years ago with the elimination of other agencies even though the need was still ever present. Since its initial designation approximately twenty (20) years ago, ALPI has continued to deliver LIHEAP

Services and has grown to providing services in Polk, Highlands, Martin, St. Lucie, Hendry, Glades, and Collier Counties.

How this relates to CNA: One of the top needs in ALPI's community needs assessment continues to be emergency assistance as well as assistance with electric bills for low income families.

Specific Types of Costs: The bulk of LIHEAP services are comprised of direct assistance payments to utility companies on behalf of eligible clients. Additionally, there are some delivery costs such as the needs to better deliver services through Sub-Subrecipient whenever necessary.

**d. Emergency Home Energy Assistance for the Elderly Program Services -**

Brief Description: ALPI recently became the Emergency Home Energy Assistance for the Elderly Program (EHEAP) provider for the elderly in Polk County. Through this program, ALPI is able to provide emergency energy assistance to eligible elderly clients.

Why Chosen: ALPI chose to become the EHEAP Provider when Polk County Aging services realigned its focus to case management as the CCE Provider.

How this relates to CNA: One of the top needs in ALPI's community needs assessment continues to be emergency assistance as well as assistance with electric bills for low income families.

Specific Types of Costs: The bulk of EHEAP services are comprised of direct assistance payments to utility companies on behalf of eligible clients. Additionally, there are some delivery costs such as the needs to better deliver services through Sub-Subrecipient whenever necessary.

**e. Emergency Assistance for Farmworkers –**

Brief Description: ALPI provides emergency assistance to farmworkers from around the state through two programs. Through Florida Department of Education and Florida Non-Profit Housing FJEP Programs, ALPI provides emergency assistance to migrant and seasonal farmworkers around the State. In 2014-2015 services were provided in twenty-one (21) counties.

Why Chosen: ALPI has a historical connection with farmworkers in the state. Additionally, farmworkers are one of the most underserved populations in the nation.

How this Relates to CNA: Through the farmworker programs, ALPI is able to provide rental and utility payment assistance to migrant and seasonal farmworkers. As stated

above, such services to the general public continue to be at the top of the needs identified through Needs Assessments as well as other analysis.

*Specific Types of Costs:* ALPI is able to provide direct assistance to farmworkers in the payment of rent, utilities, electric, cooking gas, food and transportation costs.

**f. Housing Counseling Services –**

*Brief Description:* ALPI is a certified Housing Counseling Agency and is funded, in part, by the U.S. Department of Housing and Urban Development (HUD). As such, ALPI is able to assist homeowners in Polk County with foreclosure prevent, money management, credit improvement, etc.

*Why Chosen:* Polk County continues to report some of the highest foreclosure rates in the State. As such, the provision of preventative services enables homeowners to remain in their own homes with little or no risk of homelessness.

*How this Relates to CNA:* In ALPI's recent Community Needs Assessment, home ownership was identified as the number 4 need in ALPI's service area and has consistently made the top ten year after year.

*Specific Types of Costs:* The Housing Counseling grant only provides funding for staff and the costs associated with operating a Housing Counseling program; however, through inter and intra agency referrals, ALPI able to meet some of the needs of homeowners in Polk County.

## Strategic Plan

1. Describe your agencies Strategic planning process, including how often it occurs, how you use the CNA data, and the approval process of the tripartite board.

**Description of Process:** The Agricultural and Labor Program, Incorporated (ALPI) follows a five-year Strategic Planning Process. The last Strategic Plan ran through June 2012. It is now time to complete the next five-year plan for ALPI.

Previously, ALPI followed a structured process that encompassed several steps under the direction of an outside consultant. The consultant was Myers/Wilson and they assisted ALPI in moving through the various steps of the Strategic Planning Process. The previous process specifically focused on the following elements:

- Reviewing ALPI's Vision;
- Reviewing ALPI's Mission;
- Reviewing and analyzing ALPI's accomplishments;
- Identifying present and future goals and objectives; and,
- Developing benchmarks from the goals and objectives.

The planning process that was previously followed was primarily concerned with identifying the “preferred future for ALPI” and included:

- Analyzing the beliefs, mission, and environment (internal and external);
- Describing how ALPI’s future was seen;
- Identifying the nature and needs of meeting client expectations;
- The leadership of ALPI;
- Possible future changes to ALPI’s framework; and,
- Consideration of dramatic modifications to ALPI’s current structure and service delivery system.

A key component of the previous planning process was the development of a SWOT Analysis to identify strengths, weaknesses, opportunities, and threats to ALPI and its service delivery. The SWOT analysis was completed by the Board, Policy Council representatives, Senior Management, and, subsequently, Joint Management.

The timetable followed by the previous process covered approximately seven (7) months from December 2006 through June 2007, when the Plan was presented to the Board for approval. Joint Management Team II was first in the training. The SWOT Analysis was presented to the Board in January 2007 and covered the following areas:

- **Summary of Strengths**
  - Quality governance;
  - Dedicated Management;
  - Good parent involvement;
  - Community partnerships; and,
  - Fiscal responsibility.
- **Summary of Weaknesses**
  - Need for more unrestricted funds and an increase in the fund balance;
  - Improved system of communication; and,
  - Coordinated public relationship campaign.
- **Summary of Opportunities**
  - Creation of additional educational experiences and opportunities for staff;
  - Devising a plan for upward mobility with the agency;
  - Partnering with other entities for more efficient service delivery; and,
  - Targeting of new areas for expansion.
- **Summary of Threats**
  - Reductions and restrictions in funding;
  - Loss of seasoned staff to other organizations;
  - New regulatory mandates; and,
  - Limited funding with greater competition.

2. As part of your strategic plan describe outcomes your agency will use to monitor success, how they tie to your mission, vision, CNA and the NPIs.

Refer to 2014-2015 Workplan for outcomes.

## Linkages and Funding Coordination

1. Describe the process utilized by your agency to link services and coordinate funding in your service area.

ALPI has been a service provider in its service area for more than 45 years. During this time, ALPI has been actively involved with the local community as well as agencies in the delivery of social services to the low-income population. ALPI's organizational structure of four (4) regional advisory councils was established many years ago for the primary purpose of engaging the community with maximum of participation in the delivery of services. For the CSBG funded area (Polk, Highlands, Glades, and Hendry Counties), two of ALPI's Regional Advisory Councils maintain members from the local service areas. The Advisory Councils are provided representation on the ALPI Board of Directors and serves in an advisory capacity as to the delivery of services.

- a. Indicate how staff was involved, i.e. attended community meetings, I&R, etc. – In addition to ALPI's organizational structure, staff are actively involved in the local communities. A requirement for ALPI's Senior Staff is that he/she works with one or more local groups in identifying and delivering services to the community.

ALPI's Chief Executive Officer is involved with many of the local organizations. Additionally, a Deputy Director has been appointed to the CareerSource Polk Board of Directors. He also serves as staff liaison to the ALP Housing Development Corporation. The CSBG/Economic Services Director is actively involved with the local CareerSource partnership group and participates in many of the various community events that occur throughout the year.

In addition to Senior Management, ALPI's line staff are encouraged to meet with local employers and Career Centers to determine what is needed in the local community and how ALPI can address some of those needs through its various programs.

- b. Describe how services are targeted to low income individuals and families. – Services are targeted to low income individuals in several ways. First, and foremost, is "word of mouth". Potential clients in the local communities are quite cognizant of ALPI's function as a Community Action Agency. Additionally, CSBG Staff have recently offered several community events to provide information on ALPI's programs. ALPI communicates with local employers and other social service agencies through flyers and one-on-one contact by staff. Along with the recent events, the LIHEAP section of ALPI provides "Energy Fairs". Other social service providers are invited to participate in the fairs to provide information to the local community about the services they are able to offer.
- c. Describe how linkages will be developed to fill identified gaps in services. – As outlined in a previous section, ALPI is currently undergoing its Community Needs Assessment (CNA) process. This is expected to conclude in October or November with a report issued by the University of Florida summarizing the needs (met and unmet) of the local

community. Based on a review of the issued report, as well as other needs assessments in ALPI's service area, staff will determine which of the top needs can be met by ALPI and which ones cannot be met. In instances where an identified need can be met, ALPI will review its service delivery process and make any necessary adjustments to better address those needs. For unmet needs, ALPI will identify local service providers that can address the unmet needs. Once identified, ALPI will develop a referral process to direct clients to those providers whenever possible.

2. Explain if there is a formalized coalition of social service providers in your service area. If so list the coalitions by name, describe the mission of the coalition, who participates, and methods used by the coalition to coordinate services/funding.

ALPI is not involved with a formalized coalition of social service providers in our service area at this time.

3. Provide information on any memorandums of understanding and/or service agreements your agency has with other entities regarding coordination of services/funding.

ALPI maintains Memoranda of Understanding (MOU's) with the three (3) CareerSource (formerly Workforce) agencies in ALPI's service area. Additionally, ALPI maintains sub-subrecipient agreements with various other social service agencies as identified below.

4. Identify the organizations with which your agency partners with to provide coordinated services to clients. List the following per organization:

- **Organization Name:** CareerSource Polk
- **Address:** Winter Haven/Bartow
- **Services Area:** Polk County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Workforce Development Board
- **Coordinated service provided:** Case management and job development/placement.
  
- **Organization Name:** CareerSource Heartland
- **Address:** Avon Park/Sebring
- **Services Area:** Highlands County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Workforce Development Board
- **Coordinated service provided:** Case management and job development/placement.
  
- **Organization Name:** CareerSource Southwest Florida
- **Address:** Clewiston/Labelle
- **Services Area:** Hendry County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Workforce Development Board
- **Coordinated service provided:** Case management and job development/placement.

- **Organization Name:** Boys and Girls Clubs, Inc.
- **Address:** Lakeland
- **Services Area:** Lakeland
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** After school mentoring
  
- **Organization Name:** Center for Independent Living
- **Address:** Lakeland
- **Services Area:** Lakeland and Polk County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** Case management, job development/placement, and emergency assistance for disabled adults
  
- **Organization Name:** Women’s Resource Center of Florida
- **Address:** Winter Haven/Lakeland
- **Services Area:** Winter Haven and Lakeland
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** Case management, job development/placement, and emergency assistance
  
- **Organization Name:** Big Brothers/Big Sisters
- **Address:** Sebring
- **Services Area:** Highlands County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** After school mentoring
  
- **Organization Name:** Salvation Army
- **Address:** LaBelle and Moore Haven
- **Services Area:** LaBelle (western Hendry County), Glades County
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** Case management, job development/placement, and emergency assistance
  
- **Organization Name:** Goodwill
- **Address:** Clewiston
- **Services Area:** Clewiston (eastern Hendry County)
- **Type of Agency (local government, hospital, non-profit, faith based, etc.):** Non-profit
- **Coordinated service provided:** Case management, job development/placement, and emergency assistance

## Tripartite Board of Directors

1. What is the total number of Board members as stated by your Bylaws?  
Board size may range from 18 to 24 members.
2. Provide the names and addresses of all board of director members by sector in the chart below. If an elected official has selected a designee, please list the designee's name and address and identify the elected official represented.

See Board Roster in Appendix.

3. If the total number of members on this list differs from your bylaws, please complete the Vacancy Resolution Plan, identifying by position, the date the position(s) was vacated, the estimated date the position will be filled, the reason for each vacancy, and the actions being taken to fill the vacancy

All current positions on the Board of Directors are filled as of the date of the Needs Assessment.

## Grantee Bylaws

Provide a copy of the current Grantee Bylaws and other governing policies (if applicable).

**Date:** June 2015

(Enter the month/year when the Bylaws were approved by the tripartite board)

## Grantee Agency-Wide Organizational Chart

Provide a copy of your agency-wide organizational chart.

## Grantee Agency-Wide Budget

Provide a copy of your current agency-wide budget. Identify which fiscal year is covered

## Federal Assurances and Certification

Public Law 105-285, s. 676 (b) establishes federal assurances eligible entities are to comply with. DEO, in its state plan submission, provides a narrative describing how the eligible entities in Florida will comply with the assurances. By completing and submitting this Community Action Plan, your agency certifies that it will comply with all Federal Assurances, the annual DEO Federally Funded Subgrant Agreement, and any other laws, rules, and statutes in the performance of the activities funded through this grant.

## The Agricultural and Labor Program, Incorporated (ALPI)

### Community Needs Assessment (CNA)

## APPENDICES

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## APPENDICES

## 1. Outreach Offices

## APPENDICES

### 2. Current Board Roster

## APPENDICES

### 3. Agency Bylaws

## APPENDICES

### 4. Organizational Chart

## APPENDICES

### 5. Agencywide Budget

**NCAF'S 2018 LEGISLATIVE  
CONFERENCE  
MARCH 20 - 23, 2018  
WASHINGTON, DC.**



# FHSA 2018 CONFERENCE & EXPO

*Creating Connections  
Enhancing Lives*

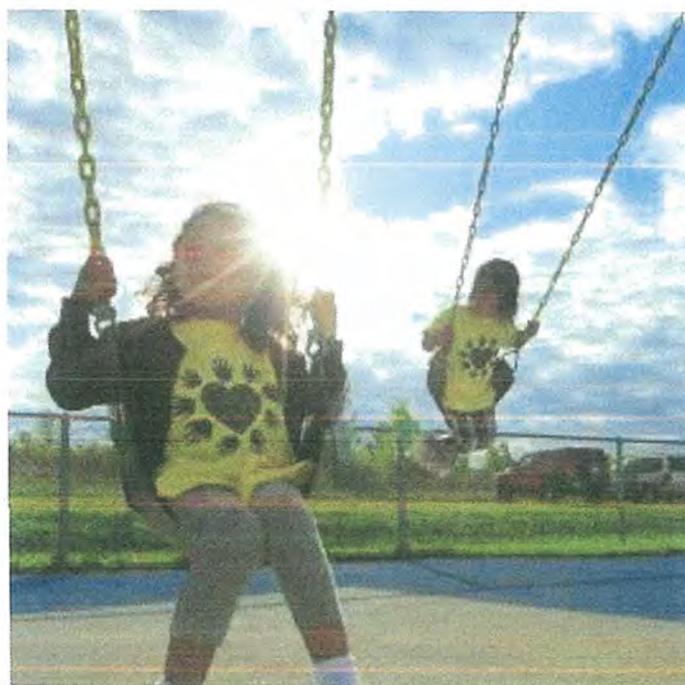


APRIL 16 - 19 | ORLANDO, FL

# 45th Annual National Head Start Conference and Expo

Anaheim, CA

APRIL 23 – 27, 2018



Florida Association for Community Action

# FACA 38TH ANNUAL TRAINING CONFERENCE

MAY 15 – MAY 18, 2018

Embassy Suites by Hilton Tampa - Near USF

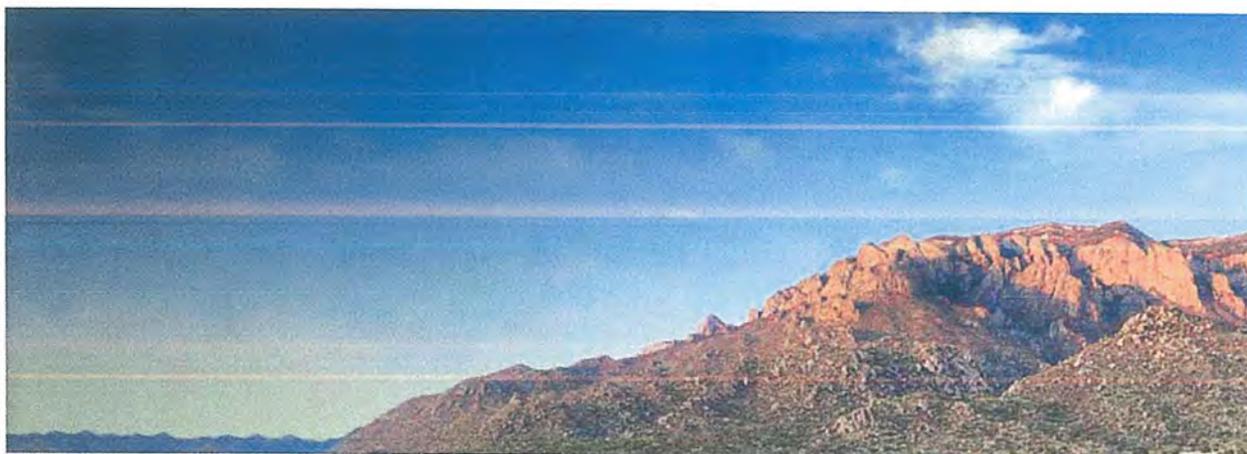


# 2018 CAPLAW NATIONAL TRAINING CONFERENCE

JUNE 20 – JUNE 22, 2018

ALBUQUERQUE CONVENTION CENTER

ALBUQUERQUE, NM



# COMMUNITY ACTION PARTNERSHIP

## 2018 Annual Convention

AUGUST 28 – AUGUST 31, 2018

SHERATON DOWNTOWN DENVER HOTEL

DENVER, CO



February 16, 2018

**Deloris C. Johnson**

Chief Executive Officer

**Corporate Office**

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**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  
 Ft. Pierce, FL 34950  
 (772) 466-2631  
 Toll Free: 1 (800) 791-3099  
 Fax: (772) 464-3035

Ms. Roniece Boston, Program Specialist  
 Region IV, Office of Head Start  
 61 Forsyth Street, Ste.  
 4M60 Atlanta, Georgia  
 30303-8909



**RE: Head Start/Early Head Start Key Management Position  
Replacement Recommendation**

Dear Ms. Boston,

Pursuant to Part 74.25(C) (2) and Part 92.30(d) (3) and as so noted in my October 24, 2017 correspondence addressed to your attention (see attached copy for details), I am hereby notifying you that the process to identify a qualified candidate to fill the ALPI Deputy Director of the Children and Family Support Service Division position that include the management oversight of our Head Start/Early Head Start Program located in Polk and St. Lucie County has been completed.

I am pleased to inform you that a qualified candidate has been identified and an employment offer is pending your review and feedback regarding the process used as summarized below to complete the task and to ensure that all actions taken are in accordance with applicable Head Start/Early Head Start regulatory requirements.

The process used to recruit, screen, interview and ultimately select the top 3 candidates to be considered to fill the vacant "Key Management" Position (CFSS Deputy Director) included the following action steps.

### 1. Recruitment, Resume/Application Screening and Telephone Interviews

The agency posted internal and external job opening notices (*see attachment #1 for details*). The also engaged the services of an independent Human Resources Agency (GLM Management Consulting Group, LLC to receive and screen all applications and resumes and to conduct telephone interviews (*see attachment #2 for details*). As a result, twenty-six resumes were received and screened. Based on the resume screening, fifteen candidates were selected for telephone interviews. Of the fifteen candidates selected, three withdrew from consideration: one accepted another position, one for medical reasons, and one due to minimum salary requirement.

Interviews were scheduled for each applicant for an hour and a half. In addition to the phone interview, each candidate completed several self-assessments in order to identify his/her leadership, management and communication styles.

Based on the resume screening and telephone interviews, a total of nine applicants were recommended and participated in an onsite interview. Three of the nine candidates interviewed were current Head Start/Early Head Start Program Operations Directors and/or Management Staff.

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

## 2. On-Site Interview Process

The agency Human Resources Director (Christine Samuel) facilitated the onsite interview process. The onsite interviews were conducted on January 10-12, 2018. The on-site interview panel included the following persons:

- Deloris Johnson, Chief Executive Officer
- Elizabeth Young, CFSD Deputy Director
- Josephine Howard, Board Member & Policy Council Community Representative

The on-site interview process (*see attachment # 3 for details*) resulted in the selection and recommendation of the following top three candidates to be considered for hire. This action is based on the results of the Interview Rating Sheet scores as noted below:

| Candidate Ranking | Average Points |
|-------------------|----------------|
| Candidate # 1     | 50             |
| Candidate # 2     | 48             |
| Candidate # 3     | 46             |

## 3. Candidates Interviewed Ranking Score

In accordance with the agency's selection policies and procedures, the highest ranking candidate was selected by the interview committee and subsequently approved by the Head Start/Early Head Start Policy Council to be the most qualified candidate interviewed to fill the position. It was also noted that the candidate clearly demonstrated during the interview process, the knowledge and skills to create a positive customer experience/interaction necessary for this position; very positive communication skills; acquired necessary skills and qualifications through past work experiences; validation of appropriate educational qualifications or training for this position; the knowledge of administrative and budgetary experience (financial planning, staff supervision, management of resources) necessary for this position; leadership skills necessary for this position; and very positive interest shown in the position. (*see attachment # 4 – Top 3 Candidates Resumes for details*)

Ms. Boston, thanks in advance for assistance and please feel free to contact me via email at [djohnson@alpi.org](mailto:djohnson@alpi.org) or by phone at (863) 956-3491 ext. 206 if you have questions and/or to provide further instructions regarding this matter. I look forward to hearing from you.

Sincerely,

Deloris Johnson  
Chief Executive Officer

DJ/ts

xc: William Holt, Board Chairperson  
Shannyn Serrano, Policy Council Chairperson  
Christine Samuel, Human Resources Director



PROGRAM GOVERNANCE  
Performance Standard Training  
Subpart A – Eligibility, Recruitment,  
Selection, Enrollment, and Attendance  
October 17, 2017

§ 1302.12 Determining, Verifying, and  
Documenting Eligibility



## Leadership and Governance

Leadership and governance are the bedrocks of effective management. Head Start program leadership consists of three key entities: the Governing Body/Tribal Council, Policy Council, and management staff. The Governing Body/Tribal Council assumes legal and fiscal responsibility for the program. The Policy Council sets direction. Management staff oversees day-to-day operations. Together, they are a powerful force that provides leadership and strategic direction.



# HEAD START PERFORMANCE STANDARDS

## o Part 1301 – Program Governance

§ 1301.1 Purpose

§ 1301.2 Governing Body

§ 1301.3 Policy council and policy committee

§ 1301.4 Parent Committees

§ 1301.5 Training: An agency MUST provide appropriate training and technical assistance or orientation to the governing body, any advisory committee members, and the policy council, including training on program performance standards and training indicated in 1302.12(m) to ensure the members understand the information they receive and can effectively oversee and participate in the program in the Head Start agency.

§ 1301.6 Impasse procedures

## o Part 1302 – Program Overview

### §1302 Subpart A – Eligibility, Recruitment, Selection, Enrollment, and Attendance

§1302.10 Purpose

§1302.11 Determining community strengths, needs, and resources

1302.12 Determining, verifying, and documenting eligibility.



## 1302.12 Determining, verifying, and documenting eligibility.

### (a) *Process overview.*

#### (1) **Program** staff must:

- (i) Conduct an in-person interview with each family, unless paragraph (a)(2) of this section applies;
- (ii) **Verify** information as required in paragraphs (h) and (i) of this section; and,
- (iii) Create an eligibility determination record for enrolled **participants** according to paragraph (k) of this section.

(2) Program staff may interview the family over the telephone if an in-person interview is not possible or convenient for the family.

(3) If a program has an alternate method to reasonably determine eligibility based on its community assessment, geographic and administrative data, or from other reliable data sources, it may petition the **responsible HHS official** to waive requirements in paragraphs (a)(1)(i) and (ii) of this section.

### (b) *Age requirements.*

(1) For Early Head Start, except when the child is transitioning to Head Start, a child must be an infant or a toddler younger than three years old.

(2) For Head Start, a child must:

- (i) Be at least three years old or, turn three years old by the date used to determine eligibility for public school in the community in which the Head Start program is located; and,
- (ii) Be no older than the age required to attend school.

(3) For Migrant or Seasonal Head Start, a child must be younger than compulsory school age by the date used to determine public school eligibility for the community in which the program is located.

### (c) *Eligibility requirements.*

(1) A pregnant woman or a child is eligible if:

- (i) The family's **income** is equal to or below the poverty line; or,
- (ii) The family is eligible for or, in the absence of child care, would be potentially eligible for public assistance; including TANF child-only payments, or,
- (iii) The child is homeless, as defined in part 1305; or,
- (iv) The child is in **foster care**.

(2) If the family does not meet a criterion under paragraph (c)(1) of this section, a program may enroll a child who would benefit from services, provided that these participants only make up to 10 percent of a program's enrollment in accordance with paragraph (d) of this section.

### (d) *Additional allowances for programs.*

(1) A program may enroll an additional 35 percent of participants whose families do not meet a criterion described in paragraph (c) of this section and whose incomes are below 130 percent of the poverty line, if the program:

- (i) Establishes and implements outreach, and enrollment policies and procedures to ensure it is meeting the needs of eligible pregnant women, children, and children with disabilities, before serving pregnant women or children who do not meet the criteria in paragraph (c) of this section; and,
- (ii) Establishes criteria that ensure pregnant women and children eligible under the criteria listed in paragraph (c) of this section are served first.

(2) If a program chooses to enroll participants who do not meet a criterion in paragraph (c) of this section, and whose family incomes are between 100 and 130 percent of the poverty line, it must be able to report to the Head Start regional program office:

- (i) How it is meeting the needs of low-income families or families potentially eligible for public assistance, homeless children, and children in foster care, and include local demographic data on these populations;
- (ii) Outreach and enrollment policies and procedures that ensure it is meeting the needs of eligible children or pregnant women, before serving over-income children or pregnant women;
- (iii) Efforts, including outreach, to be fully enrolled with eligible pregnant women or children;
- (iv) Policies, procedures, and selection criteria it uses to serve eligible children;
- (v) Its current enrollment and its enrollment for the previous year;
- (vi) The number of pregnant women and children served, disaggregated by the eligibility criteria in paragraphs (c) and (d)(1) of this section; and,
- (vii) The eligibility criteria category of each child on the program's waiting list.

(e) *Additional allowances for Indian tribes.*

(1) Notwithstanding paragraph (c)(2) of this section, a tribal program may fill more than 10 percent of its enrollment with participants who are not eligible under the criteria in paragraph (c) of this section, if:

- (i) The tribal program has served all eligible pregnant women or children who wish to be enrolled from Indian and non-Indian families living within the approved service area of the tribal agency;
- (ii) The tribe has resources within its grant, without using additional funds from HHS intended to expand Early Head Start or Head Start services, to enroll pregnant women or children whose family incomes exceed low-income guidelines or who are not otherwise eligible; and,
- (iii) At least 51 percent of the program's participants meet an eligibility criterion under paragraph (c)(1) of this section.

(2) If another program does not serve the approved service area, the program must serve all eligible Indian and non-Indian pregnant women or children who wish to enroll before serving over-income pregnant women or children.

(3) A program that meets the conditions of this paragraph (e) must annually set criteria that are approved by the policy council and the tribal council for selecting over-income pregnant women or children who would benefit from program services.

(4) An Indian tribe or tribes that operates both an Early Head Start program 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 may not serve as a basis for any reduction of the base grant for either program in succeeding years.

(f) *Migrant or Seasonal eligibility requirements.* A child is eligible for Migrant or Seasonal Head Start, if the family meets an eligibility criterion in paragraphs (c) and (d) of this section; and the family's income comes primarily from agricultural work.

(g) *Eligibility requirements for communities with 1,000 or fewer individuals.*

(1) A program may establish its own criteria for eligibility provided that it meets the criteria outlined in section 645(a)(2) of the Act.

(2) No child residing in such community whose family is eligible under criteria described in paragraphs (c) through (f) of this section, may be denied an opportunity to participate in the program under the eligibility criteria established under this paragraph (g).

(h) *Verifying age.* Program staff must verify a child's age according to program policies and procedures. A program's policies and procedures cannot require families to provide documents that confirm a child's age, if doing so creates a barrier for the family to enroll the child.

(i) *Verifying eligibility.*

(1) To verify eligibility based on income, program staff must use tax forms, pay stubs, or other proof of income to determine the family income for the **relevant time period**.

(i) If the family cannot provide tax forms, pay stubs, or other proof of income for the relevant time period, program staff may accept written statements from employers, including individuals who are self-employed, for the relevant time period and use information provided to calculate total annual income with appropriate multipliers.

(ii) If the family reports no income for the relevant time period, a program may accept the family's signed declaration to that effect, if program staff describes efforts made to verify the family's income, and explains how the family's total income was calculated or seeks information from third parties about the family's eligibility, if the family gives written consent. If a family gives consent to contact third parties, program staff must adhere to program safety and privacy policies and procedures and ensure the eligibility determination record adheres to paragraph (k)(2) of this section.

(iii) If the family can demonstrate a significant change in income for the relevant time period, program staff may consider current income circumstances.

(2) To verify whether a family is eligible for, or in the absence of child care, would be potentially eligible for public assistance, the program must have documentation from either the state, local, or tribal public assistance agency that shows the family either receives public assistance or that shows the family is potentially eligible to receive public assistance.

(3) To verify whether a family is homeless, a program may accept a written statement from a homeless services provider, school personnel, or other service agency attesting that the child is homeless or any other documentation that indicates homelessness, including documentation from a public or private agency, a declaration, information gathered on enrollment or application forms, or notes from an interview with staff to establish the child is homeless; or any other document that establishes homelessness.

(i) If a family can provide one of the documents described in this paragraph (i)(3), program staff must describe efforts made to verify the accuracy of the information provided and state whether the family is eligible because they are homeless.

(ii) If a family cannot provide one of the documents described in paragraph (i)(3) to prove the child is homeless, a program may accept the family's signed declaration to that effect, if, in a written statement, program staff describe the child's living situation that meets the definition of homeless in part 1305 of this chapter.

(iii) Program staff may seek information from third parties who have firsthand knowledge about a family's living situation, if the family gives written consent. If the family gives consent to contact third parties, program staff must adhere to program privacy policies and procedures and ensure the eligibility determination record adheres to paragraph (k) of this section.

(4) To verify whether a child is in foster care, program staff must accept either a court order or other legal or government-issued document, a written statement from a government child welfare official that demonstrates the child is in foster care, or proof of a foster care payment.

(j) *Eligibility duration.*

(1) If a child is determined eligible under this section and is participating in a Head Start program, he or she will remain eligible through the end of the succeeding program year except that the Head Start program may choose not to enroll a child when there are compelling reasons for the child not to remain in Head Start, such as when there is a change in the child's family income and there is a child with a greater need for Head Start services.

(2) Children who are enrolled in a program receiving funds under the authority of section 645A of the Act remain eligible while they participate in the program.

(3) If a child moves from an Early Head Start program to a Head Start program, program staff must verify the family's eligibility again.

(4) If a program operates both an Early Head Start and a Head Start program, and the parents wish to enroll their child who has been enrolled in the program's Early Head Start, the program must ensure, whenever possible, the child receives Head Start services until enrolled in school, provided the child is eligible.

(k) *Records.*

(1) A program must keep eligibility determination records for each participant and ongoing records of the eligibility training for staff required by paragraph (m) of this section. A program may keep these records electronically.

(2) Each eligibility determination record must include:

(i) Copies of any documents or statements, including declarations, that are deemed necessary to verify eligibility under paragraphs (h) and (i) of this section;

(ii) A statement that program staff has made reasonable efforts to verify information by:

(A) Conducting either an in-person, or a telephone interview with the family as described under paragraph (a)(1)(i) or (a)(2) of this section; and,

(B) Describing efforts made to verify eligibility, as required under paragraphs (h) through (i) of this section; and, collecting documents required for third party verification that includes the family's written consent to contact each third party, the third parties' names, titles, and affiliations, and information from third parties regarding the family's eligibility.

(iii) A statement that identifies whether:

(A) The family's income is below income guidelines for its size, and lists the family's size;

(B) The family is eligible for or, in the absence of child care, potentially eligible for public assistance;

(C) The child is a homeless child or the child is in foster care;

(D) The family was determined to be eligible under the criterion in paragraph (c)(2) of this section; or,

(E) The family was determined to be eligible under the criterion in paragraph (d)(1) of this section.

(3) A program must keep eligibility determination records for those currently enrolled, as long as they are enrolled, and, for one year after they have either stopped receiving services; or are no longer enrolled.

(l) *Program policies and procedures on violating eligibility determination regulations.* A program must establish written policies and procedures that describe all actions taken against staff who intentionally violate federal and program eligibility determination regulations and who enroll pregnant women and children that are not eligible to receive Early Head Start or Head Start services.

**(m) Training on eligibility.**

(1) A program must train all governing body, policy council, management, and staff who determine eligibility on applicable federal regulations and program policies and procedures. Training **must**, at a minimum:

(i) Include methods on how to collect complete and accurate eligibility information from families and third party sources;

(ii) Incorporate strategies for treating families with dignity and respect and for dealing with possible issues of domestic violence, stigma, and privacy; and,

(iii) Explain program policies and procedures that describe actions taken against staff, families, or participants who attempt to provide or intentionally provide false information.

(2) A program must train management and staff members who make eligibility determinations within 90 days of hiring new staff.

(3) A program must train all governing body and policy council members within 180 days of the beginning of the term of a new governing body or policy council.

(4) A program must develop policies on how often training will be provided after the initial training.



Methods  
used by ALPI...

## *How We Determine Eligibility...*

### OVERVIEW

ALPI has developed, established and maintained methods and processes to ensure that the neediest families and their children are recruited by utilizing data from the community assessment that reflects the community strengths, needs and priorities. These methods and processes are designed in a policy and procedures format to provide detailed and/or step by step processes.

The following information represents ALPI's methods and processes:

- Eligibility, collection of data, and accuracy information from families and third party sources.
  - a. Intake – An intake is conducted by interviewing the parent(s) and collecting the eligibility information that includes the following:

#### **Age requirement-**

- For Early Head Start, a child must be an infant or a toddler younger than three years old.
- For Head Start, a child must be at least three years old or turn three by September 1<sup>st</sup> of that year and no older than the age required to attend school.

#### **Eligibility Requirement-**

- A pregnant women or a child is eligible if:
- The family income is equal to or below the poverty line or
- The family is eligible for or receives public assistance (SSI) or TANF (child only payments) or
- The child is homeless or
- The child is in foster care.
- If a family doesn't meet the above criterion, the program may enroll a child who will benefit from services but exceeds the income poverty line but are below 130 percent. (Only up to 10% of **enrolled** families can fall in this category)

#### **Verifying Eligibility-**

- To verify eligibility based on income, staff will use tax forms, pay stubs or other proof of income to determine family income for the **relevant time period**. (Staff may also use other proof as written statements from employers, self declarations, etc.)
- For families that receive public assistance, staff must have documentation from either the state or local public assistance agency that shows family is either receiving assistance or eligible for.
- For families that are homeless, staff may accept a written statement from a homeless services provider, school personnel or other service agency attesting that the child is homeless ( all families will complete a Homeless verification form)
- For families in foster care, staff must accept either a court order or other legal government issued document, a written statement from a government welfare official that shows child in foster care or proof of foster care payments.

## How We Prioritize Eligibility...

ALPI uses a Selection Criteria Scale that is updated and approved annually. The following is a SAMPLE of the Scale:

| ELIGIBILITY TYPE                                            | Mark all that Apply |
|-------------------------------------------------------------|---------------------|
| Homeless (as defined by McKinney-Vento Act)                 | 120                 |
| Foster Child                                                | 120                 |
| Public Assistance (TANF/SSI)                                | 120                 |
| Below or at the HHS poverty guidelines                      | 120                 |
| INCOME                                                      | POINTS              |
| Income is between 100% - 130% of the HHS poverty guidelines | 45                  |
| Income is over 130% of the HHS poverty guidelines           | 35                  |
| AGE (By Compulsory School Age) – Head Start                 |                     |
| Age 4 by September 1, 2017                                  | 85                  |
| Age 3 by September 1, 2017                                  | 75                  |
| AGE (By Compulsory School Age) – Early Head Start           |                     |
| Birth to 36 months                                          | 85                  |
| OTHER FACTORS                                               |                     |
| Single, Working Parent                                      | 45                  |
| Transition from Early Head Start                            | 20                  |
| Sibling currently enrolled in program                       | 15                  |
| Legal Guardianship                                          | 10                  |
| Teen Parent (At time of application)                        | 5                   |
| DISABILITY (Must be Documented)                             |                     |
| Documented disability, diagnosed with IEP from LEA- (HS)    | 95                  |
| Referred by Part C- Disability IFSP- (EHS)                  | 95                  |
| <b>Total Points</b>                                         | <b>10</b>           |

## *How We Maintain Records...*

### **Eligibility Duration-**

- o When a child is deemed eligible for services, the child remains eligible through the end of the succeeding program year except in the Head Start program, **the staff may choose not to enroll a child when there are compelling reasons for the child not to remain in the program such as a change in family's income or there is a child with a greater need.**
- o When a child is enrolled in Early Head Start and moves to Head Start, the staff must re-verify the family's income again to determine eligibility.

### **Records-**

- o A program must keep eligibility determination records for each child enrolled in the program. Each record must include:
  - o Copies of any documents used to determine eligibility (income)
  - o A statement verifying a in-person or telephone interview was conducted
  - o Efforts made to verify eligibility (third-party verification, family consents, etc.)
  - o A statement that identifies what way the family was eligible (income, public assistance, homeless, foster care)
- o All records must be kept on currently enrolled children and maintained for one year after they have stopped receiving services or are no longer enrolled.

### **Maintenance of data/records collected –**

- o Eligibility and enrollment information collected through the intake and enrollment process/method is maintained at an automated and manual recordkeeping system, that is designed to manage dynamic processes and mechanisms to maintain an effective and efficient recordkeeping system that captures and produces timely and accurate agency and program information regarding families and children.
- o Program Resources and Outcomes Management Information System (PROMIS) is utilized to maintain eligibility, verification, and track children and families. Information includes, but is not limited to the following: name, income, family size, verification, demographic, enrollment, health, screenings and results, family needs assessment, drops, transfers, replacements, attendance, home visits, follow up, services rendered, etc.
- o Data/records collected are confidential and align with agency Standards of Conduct.

## *How We Work with Families...*

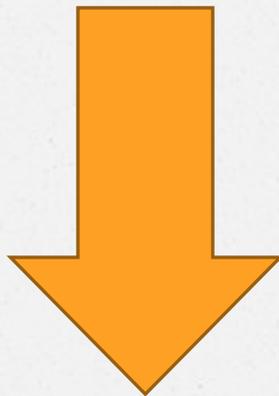
### **Treatment of families –**

- Family Services Staff through the New Employee Orientation receive at a minimum three (3) days of orientation following with onsite mentoring and coaching processes serving as training and technical assistance. This process includes but are not limited to:
  - Eligibility determination
  - Recordkeeping system (automated and manual)
  - Confidentiality
  - Interview strategies for treating families with dignity and respect for dealing with possible issues of domestic violence, stigma, and privacy
  - Community resources and referral processes.
- Family Services Staff receives annual refreshment trainings as part of the Professional Development Plan.

### **Polices and Procedures –**

ALPI's Personnel Policies and Procedures, Policy 265 Standards of Conduct are aligned with the performance standards section 1302.12(m)(iii) regarding actions taken against staff, families, or participants who attempt to provide or intentionally provide false information.

To enhance these policies and procedures and to ensure that staff and parents adhere to these policies; the following forms are presented to the staff as part of the orientation process and to the parents as part of the intake process:



**Agricultural and Labor Program, Inc.  
Head Start/Early Head Start Program  
FRAUD AFFIDAVIT**

**STATEMENT:**

In accordance with 1302.12 (l): Program policies and procedures on violating eligibility determination regulations. A program must establish written policies and procedures that describe all actions taken against staff who intentionally violate federal and program eligibility determination regulations and who enroll pregnant women and children that are not eligible to receive Early Head Start or Head Start services (*Head Start Performance Standards*).

Therefore, **this is to certify that as an employee (Family Services Staff)** of the Agricultural and Labor Program, Inc., I will adhere to all the Federal and Program Eligibility determination regulations in order to enroll pregnant women and children for Head Start and Early Head Start. It is also understood that no special privileges will be given to staff and/or our families.

**ACTIONS CONSTITUTING FRAUD ARE NOT LIMITED TO:**

- Intentionally omitting one parents income in a two working parent's home
- Coaching parents to intentionally complete/omit information to be eligible for the program
- Falsely claiming to have no income (Completion of Zero Income Affidavit)
- Creation of fictitious family members in order to make family size larger
- Completing applications on known family members, self and/or that may live in the same household as employee
- Accepting bribes from families of material or monetary value in exchange for eligibility in the program
- Deliberately falsifying documents to make a family eligible for the program.

**I HAVE READ AND UNDERSTAND THE ABOVE STATEMENT REGARDING ELIGIBILITY AND FRAUD. I AM ALSO AWARE THAT ANY VIOLATION OF THE MENTIONED POLICY WILL DEEM FOR FURTHER DISCIPLINARY ACTIONS TO BE TAKEN BASED ON THE AGENCY POLICY #265 STANDARDS OF CONDUCT.**

\_\_\_\_\_  
Staff Signature

\_\_\_\_\_  
Date

**Agricultural and Labor Program, Inc.  
Head Start/Early Head Start Program  
FRAUD POLICY**

**STATEMENT:**

In accordance with 1302.12 (l): Program policies and procedures on violating eligibility determination regulations. A program must establish written policies and procedures that describe all actions taken against staff who intentionally violate federal and program eligibility determination regulations and who enroll pregnant women and children that are not eligible to receive Early Head Start or Head Start services (*Head Start Performance Standards*).

**POLICY:**

All **individuals/families** that intentionally violate Federal and Program Eligibility determination regulations in order to enroll pregnant women and/or children that are NOT eligible to receive Head Start/Early Head Start services will be immediately removed from the wait list and/or services immediately terminated if already enrolled in the program.

**ACTIONS CONSTITUTING FRAUD ARE NOT LIMITED TO:**

- Omission of one parents income in a two working parent’s home.
- Falsely claiming to be Homeless
- Falsely claiming to have no income (Completion of Self Declaration Form).
- Creation of fictitious family members in order to make family size larger.
- Classifying as a single parent when both parents are living in the same household and supporting child.
- Falsely claiming to live within our service area
- Bribery of agency employees with material or monetary value in exchange for eligibility in the program.

**I understand that failure to provide information regarding my eligibility and/or providing false, fraudulent and misleading information may result in termination from the Agricultural and Labor Program, Inc. Head Start/Early Head Start Program. The agency confidentiality and ongoing monitoring policies and procedures apply.**

**I HAVE READ AND UNDERSTAND THE ABOVE POLICY REGARDING ELIGIBILITY FRAUD:**

\_\_\_\_\_  
Parent/Guardian Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Staff

\_\_\_\_\_  
Date

## *How We Train...*

### **Staff Training –**

ALPI provides training to management staff and family services staff who make eligibility determination for new employees during the new employee's orientation (prior to working with families) and annually to all family services staff as part of the professional development and the annual training and technical assistance plan.

### **Governing Body and Policy Council Training –**

- ALPI annually seats the newly elected governing body during the agency corporate luncheon in January of each year
- The governing body annually receives training during the governing body orientation in February of each year to include but are not limited to:
  - Legal and fiscal responsibilities
  - Composition
  - Duties and responsibilities
  - Advisory committees
  - Performance Standards
  - ERSEA Requirements
- ALPI's Head Start and Early Head Start Program annually seats the newly elected policy council during the month of October of each year
- The policy council annually receives training during the policy council orientation in October of each year to include but are not limited to:
  - Policy council responsibilities
  - Composition
  - Duties and responsibilities
  - Term
  - Reimbursement
  - Performance Standards
  - ERSEA Requirements

### **Governing Body and Policy Council Ongoing Training –**

The governing body and policy council receive ongoing training after the initial training in various methods to include but are not limited to: region conferences, state conferences, agency trainings, etc.

## References

- o ECLKC – Early Childhood Learning & Knowledge Center
- o ACF.HHS.Gov – Administration for Children and Families – Health and Human Services
- o Head Start Performance Standards
- o Head Start Act.
- o ALPI's Policies and Procedures



## BOARD OF DIRECTOR'S 2018 CONFLICT OF INTEREST 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:

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**Board Member signature:** \_\_\_\_\_

PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



City of Ft. Pierce, County of St. Lucie, Department of Education, Adult Migrant Division, Florida Department of Health, Florida Non-Profit Housing, Inc., St. Lucie County School Board, Youth and Family Alternatives, Workforce Development Board of Flagler and Volusia Counties and Early Learning Coalition of St. Lucie County, Inc.

**THE AGRICULTURAL AND LABOR PROGRAM, INC. — PROVIDING A CONSTANT FLOW OF COMMUNITY SERVICES SINCE 1968**  
AN EQUAL OPPORTUNITY EMPLOYER



## CODE OF BUSINESS CONDUCT PLEDGE STATEMENT

As an officer, employee and/or agent, I pledge to abide by the Code of Business Conduct, furthermore, I understand that no officer, employee and/or agent, is excused from the manifestation of this Code in everyday practices and operations.

I Pledge (check)

- 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.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date

BOOKLET DISTRIBUTED



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SERVICE CORPORATION

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President & Chief Executive Officer

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# AGENCY PUBLICATIONS

**Program service delivery activities are provided through the following programs:**

- **CSBG Family Self Sufficiency & Emergency Services** (Counties Served: Glades, Hendry, Highlands and Polk)
- **Farmworker Emergency Services** (Counties Served: Statewide)
- **LIHEAP Services** (Counties Served: Collier, Glades, Hendry, Highlands, Martin, Polk and St. Lucie)
- **Housing Counseling Services** (Counties Served: Polk)
- **Training and Employment Services** (Counties Served: Volusia)
- **ALPI Technical Education Center** (Counties Served: Volusia)
- **EHEAP Services** (Counties Served: Polk)
- **Head Start Services** (Counties Served: St. Lucie)
- **Early Head Start Services** (Counties Served: Polk and St. Lucie)
- **School Readiness VPK & Subsidized Child Care** (Counties Served: Polk (Frostproof) and St. Lucie)
- **Child Care Food** (Counties Served: Polk (Frostproof) and St. Lucie)
- **Computer Assisted Tutorial Program (CAT) & After School Care** (Counties Served: St. Lucie)

**ALPI's Programs and Services Are Funded in Part By:**



United Way of Central Florida and  
United Way of St Lucie County

## Contact Information

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Chief Executive Officer  
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Budget and Finance  
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DGniewek@ALPI.org

Human Resources  
Christine Samuel, Director  
Extension 202  
CSamuel@ALPI.org

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CSBG/Economic Development  
PaHoua Lee-Yang, Director  
Extension 218  
PYang@ALPI.org

### CHILD DEVELOPMENT & FAMILY SERVICES DIVISION

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(772) 464-3035 Fax

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Early Head Start (Polk Co.)

Head Start/Early Head Start  
Program Operations (SLC)  
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MRodriguez@alpi.org

Head Start/Early Head Start  
Program Operations (Polk)  
Aletta Stroder, Director  
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ASTroder@alpi.org



**Providing a constant flow of Children and Family Services since 1968 ...**



**The Agricultural and Labor Program, Inc.**

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Email: [admin@alpi.org](mailto:admin@alpi.org) ▪ Website: [www.alpi.org](http://www.alpi.org)

**The Agricultural and Labor Program, Inc.**

## From the CEO ...



Deloris Johnson, CEO


 erving as the CEO since September 6, 1988, my job experience has been both rewarding and challenging. During my tenure, the ALPI organization has witnessed some very significant accomplishments in program expansion, community partnerships, client satisfaction, program recognition, and professional accreditation.

Today however, ALPI, like other non-profit service organizations, is faced with the threat of increases in requests for services for needy children and families, and decreases in financial resources to adequately meet the demand.

Therefore, in an effort to be there for those in need, the ALPI organization, under my leadership, will continue to place a high priority on local partnerships and collaboration efforts to maximize the use of limited resources. As we continue our journey into the new millennium, I pledge to do "whatever it takes" to maintain a continuous flow of affordable, accessible, and quality services and programs to help as many families as possible to become self-sufficient.

My "Thanks" to the Coca-Cola Minute Maid Company and all the pioneers who conceived the Agricultural and Labor Program vision some thirty-four years ago. It is my hope that all persons involved with the ALPI Organization today will continue to work together in order to make a difference in the lives of children and families for many more years to come.

ALPI is a proud member of the Community Action Partnership



## About ALPI . . .

The Agricultural and Labor Program, Inc. (ALPI), headquartered in Winter Haven, Florida, is an IRS certified 501(c)(3) private, nonprofit organization. The Agricultural and Labor Program is a direct descendent of The Agricultural and Labor Project, established in 1968 by the Coca-Cola Company to improve the quality of life for farm workers in their Florida citrus operations. Today, ALPI serves the total spectrum of socially and economically disadvantaged children and families throughout Florida.



ALPI's 1st Intake Ctr—1968  
St. Lucie County, Florida

In the early 70's, the organization made available child care services to the children of migrant and seasonal workers when no other service providers were available to meet the child care needs of these families. Since the late 70's, ALPI has continued to operate as the Central Agency for Subsidized Child Care Services that provides child care for as many as 6,000 children per year!

Over the years, a vast network has been established by ALPI. This network is comprised of agencies, churches, organizations and private groups and/or individuals whereby some provide direct financial assistance, others distribute applications for services. Partnerships and collaborative efforts between ALPI and the communities we serve are crucial to the success of service delivery.

In the years since its inception, The Agricultural and Labor Program, Inc. has continued to grow and to expand 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 services.*

## Five Underlying Principles

The Agricultural and Labor Project continues to be based on five underlying principles that have guided all its activities to date:

- *Involvement of People*
- *Emphasis on long term accomplishments rather than promises*
- *Assurances of economic viability*
- *Emphasis on self-help*
- *A sound, integrated, total systems approach*

## Areas Being Addressed

Through a vast number of resources, ALPI continues to address the critical areas of :

- *Jobs and income*
- *Housing*
- *Education*
- *Social services*
- *Health*
- *Training*
- *Community relations*

## ALPI MISSION STATEMENT

The mission of The Agricultural and Labor Program, Inc. is to propose, implement, and advocate developmental and human service delivery programs for socially and economically disadvantaged children and families, as well as farm workers.

Our focus is to provide a mechanism towards achieving and maintaining family stability and economic self-sufficiency. Through our vast resources, we will address the areas of jobs and income, housing, education, social services, health, training, and community relations.

We will continue to serve as a source of information and hope in the community, as a clearinghouse for community needs and in the provision of a coordinated (mechanism) approach to the delivery of human services.

**ALPI**  
AGRICULTURAL AND LABOR PROGRAM, INC.

CELEBRATING

**50**

YEARS  
of Community Services

# Save the Date

SATURDAY

January 27, 2018

12:30 p.m. - 2:30 p.m.

Acknowledging  
the *Past...*

Preparing  
for the *Future*

2018 ANNUAL CORPORATE MEETING & LUNCHEON  
Rosen Centre Hotel | 9840 International Drive | Orlando, FL 32819



# Save the Date

January 27, 2018



Willie E. Gary, Esq.

## *Special Guest Speaker*

Attorney Willie E. Gary

The Law Firm of Gary, Williams,  
Parenti, Watson & Gary, P.L.L.C.

Attorney Willie E. Gary earned the reputation as “The Giant Killer” by taking down some of America’s most famous corporate giants on behalf of his clients. He is a businessman, churchman, humanitarian and philanthropist, as well as a nationally sought after speaker.

*Celebrating 50 Years of Community Services*

“Acknowledging the Past ... Preparing for the Future”

**Look for your invitation in the mail during the month of December.**

More information will be posted on our website as it becomes available.

**www.ALPI.org • (863)-956-3491**

**The Agricultural and  
Labor Program, Inc.**

300 Lynchburg Road  
Lake Alfred, FL 33850

**ALPI**  
AGRICULTURAL AND LABOR PROGRAM, INC.  
CELEBRATING  
**50**  
YEARS  
of Community Services

*You're Invited*



# *Celebrating 50 Years of Community Services*

THE BOARD OF DIRECTORS OF THE  
AGRICULTURAL AND LABOR PROGRAM, INC.  
requests the pleasure of your company at the

## **2018 Annual Corporate Meeting & Luncheon**

Saturday, January 27, 2018  
12:30 p.m. to 2:30 p.m.

at

Rosen Centre Hotel  
9840 International Drive, Orlando, FL 32819

*“Acknowledging the Past ... Preparing for the Future”*

Business Attire  Donation \$35.00 per person  
RSVP: Please contact Marnita Johnson at 863-956-3491

### *Special Guest Speaker*



Willie E. Gary, Esq.

#### **Attorney Willie E. Gary**

The Law Firm of Gary, Williams,  
Parenti, Watson & Gary, P.L.L.C.

ATTORNEY WILLIE E. GARY is living the American Dream. Once a migrant worker, now a multi-millionaire attorney, Gary earned his reputation by representing little-known clients against major corporations. Along the way he has handled some of the largest jury awards and settlements in U.S. history, winning more than 150 cases valued in excess of \$1 million each. In May 2002, he was featured in Ebony magazine as one of the “100 Most Influential Black Americans.” Forbes Magazine has listed him as one of the “Top 50 attorneys in the U.S.” Gary has been featured in national media publications, such as The New York Times, The Chicago Tribune, The Boston Globe, Ebony, Jet, People, Black Enterprise, Fortune, The New Yorker and The National Law Journal. His remarkable legal career and tireless work on behalf of his clients has been well documented on “60 Minutes,” “CBS Evening News,” and ABC’s “World News Tonight with Peter Jennings.” His vast appeal stems from his desire to be the best and a passionate work ethic he learned through his humble beginnings.

One of 11 children of Turner and Mary Gary, Willie Gary was born July 12, 1947 in Eastman, Georgia and raised in migrant farming communities in Florida, Georgia and the Carolinas. His unwavering desire to earn a college education ultimately led him to Shaw University in Raleigh, North Carolina where he earned a Bachelor’s degree in Business Administration. Gary then went on to North Carolina Central University in Durham, North Carolina where he earned a Juris Doctorate in 1974. He has received honorary doctorates from dozens of colleges and universities. Gary was admitted to the Florida Bar and opened his hometown’s first African-American law firm with the help of his wife, Gloria, who assisted him at his new practice. Gary’s practice has since grown into the thriving national partnership known as Gary, Williams, Parenti, Watson & Gary, P.L.L.C., consisting of 37 attorneys, a team of paralegals, a professional staff of 120 including six nurses, two full-time investigators, an administrator, a certified public accountant, a public relations director, a general counsel, human resources director, and a full administrative staff.

He is committed to enhancing the lives of young people through education. His extensive community activities include membership in the NAACP, Florida Guardsmen, Inc., Urban League, Civitan International, United Way of Martin County, Martin Memorial Hospital Foundation Council, and many others.

# Celebrating 50 Years of Community Services

Acknowledging

the *Past*... Preparing for the *Future*



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**

**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  
Ft. Pierce, FL 34950  
(772) 466-2631  
Toll Free: 1 (800) 791-3099  
Fax: (772) 464-3035



## Theme: Celebrating 50 Years of Community Services: Acknowledging the Past ... Preparing for the Future

Dear ALPI Supporter:

As ALPI enters its historic *50th year*, we stand firm to continue the journey to do “whatever it takes” to “provide a constant flow of services” for the economically and socially challenged families and their children that ALPI so faithfully serves. This past year has been filled with many challenges, opportunities, and ultimately positive outcomes. ALPI met those challenges and used those opportunities to provide continued services to those most in need.

The vast majority of each dollar received was earmarked to maintain and enhance services to meet the needs of families facing social and economic challenges due to job lay-offs, mortgage foreclosure, increased health related expenses, children and youth education and enrichment activities, increased utility costs, etc.

In the past, ALPI has counted *you* among its many valued supporters and for that we are very appreciative. Whether as a vendor, past-partner, community leader, resources provider, or ALPI friend, we have been very fortunate to have you working together with us and look forward to working with you in the future.

This year, as we prepare to begin work on our **2018 Annual Corporate Meeting and Luncheon**, we ask that you consider once again partnering with ALPI. Your support through any of the Corporate Partner Levels or program ad placements listed on the attached Partnership Form will help us to continue providing services to needy communities in Florida. We look forward to hearing from you and the opportunity to include you on the ALPI Partnership Team. If you have any questions, please do not hesitate to contact Maria Crespo or Twila Smith at 863-956-3491. And again, thank you for helping to *Make a Difference!*

Deloris Johnson  
Chief Executive Officer

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



# 2018 Annual Corporate Meeting & Luncheon

*Celebrating 50 Years of Community Services:  
Acknowledging the Past ...  
Preparing for the Future*

## 2018 Partnership Contribution Form

| Corporate Partner Levels:                   | <input type="checkbox"/> Silver | <input type="checkbox"/> Gold | <input type="checkbox"/> Platinum |
|---------------------------------------------|---------------------------------|-------------------------------|-----------------------------------|
| <u>BENEFITS</u>                             | <u>SILVER</u>                   | <u>GOLD</u>                   | <u>PLATINUM</u>                   |
| Newsletter Subscription for one year        | •                               | •                             | •                                 |
| Recognition at Corporate Meeting & Luncheon | •                               | •                             | •                                 |
| Link to your website on ALPI Website        | •                               | •                             | •                                 |
| 1/4 Page Annual Program Ad                  | •                               |                               |                                   |
| 1/2 Page Annual Program Ad                  |                                 | •                             |                                   |
| Full Page Annual Program Ad                 |                                 |                               | •                                 |
| 2 Tickets to Corporate Meeting & Luncheon   | •                               |                               |                                   |
| 3 Tickets to Corporate Meeting & Luncheon   |                                 | •                             |                                   |
| 5 Tickets to Corporate Meeting & Luncheon   |                                 |                               | •                                 |
| <b>Cost</b>                                 | <b>\$500</b>                    | <b>\$750</b>                  | <b>\$1,000</b>                    |

### Program Book Ads

|                                                                   |       |                                                              |         |
|-------------------------------------------------------------------|-------|--------------------------------------------------------------|---------|
| <input type="checkbox"/> Business Card                            | \$15  | <input type="checkbox"/> 1/4 Page                            | \$25    |
| <input type="checkbox"/> 1/2 Page                                 | \$50  | <input type="checkbox"/> Full Page                           | \$100   |
| <input type="checkbox"/> Inside Cover <small>(Front/Back)</small> | \$500 | <input type="checkbox"/> Outside Cover <small>(Rear)</small> | \$1,000 |

*All ads will be printed in full color. Deadline for artwork is January 12, 2018.  
Preferred file formats are jpg, png or pdf. Email finished files or any questions to: [mcespo@alpi.org](mailto:mcespo@alpi.org)*

*You may also complete this form online at: [www.alpi.org/annualmeeting.htm](http://www.alpi.org/annualmeeting.htm)*

\_\_\_\_\_  
Last Name First Name

\_\_\_\_\_  
Business Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City, State, ZIP

\_\_\_\_\_  
Telephone # Position/Title

\_\_\_\_\_  
Email Address Web Site Address

**Please mail this completed form and applicable fees to:**

The Agricultural and Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, FL 33850-2576

Checks should be made payable to the Agricultural and Labor Program, Inc. and all donations are tax deductible.

**TOTAL AMOUNT ENCLOSED:**

\$ \_\_\_\_\_

863-956-3491 • Fax: 863-956-3357



# 2018 Annual Corporate Meeting & Luncheon *Program*



January 25 - 27, 2018

Rosen Centre Hotel • 9840 International Drive • Orlando, FL 32819

# Keynote Speaker

Willie E. Gary, Esq.

*Prominent Trial Attorney, Humanitarian and Philanthropist*



Attorney Willie E. Gary earned the reputation as “The Giant Killer” by taking down some of America’s most well-known corporate giants on behalf of his clients. He has won some of the largest jury awards and settlements in U.S. history, including cases valued in excess of \$30 billion. Gary’s amazing success has earned him national recognition as one of this country’s leading trial attorneys.

His remarkable legal career and tireless work on behalf of his clients has been well documented on “60 Minutes,” “CBS Evening News,” and ABC’s “World News Tonight with Peter Jennings.”

But Willie Gary’s triumphant rise to the top is no overnight success story. His vast appeal stems from his desire to be the best and a passionate work ethic he learned through his humble beginnings. One of 11 children of Turner and Mary Gary, Willie Gary was born July 12, 1947 in Eastman, Georgia, and raised in migrant farming communities in Florida, Georgia and the Carolinas.

His unwavering desire to earn a college education ultimately led him to Shaw University in Raleigh, North Carolina where the all-state high school football player would earn an athletic scholarship after being told there was no room

for him on the team. Earning a Bachelor’s degree in Business Administration, Gary went on to North Carolina Central University in Durham, North Carolina where he earned a Juris Doctorate in 1974. Upon earning his law degree, Gary returned to Florida with his childhood sweetheart, Gloria, - now his wife.

Gary was admitted to the Florida Bar in 1974 and opened his hometown’s first African American law firm with the help of Gloria, who assisted him at his new practice. Gary’s practice has since grown into the thriving national partnership known as Gary, Williams, Parenti, Watson and Gary, P.L.L.C., consisting of 37 attorneys, a team of paralegals and a professional staff of over 100. The firm operates out of three offices.

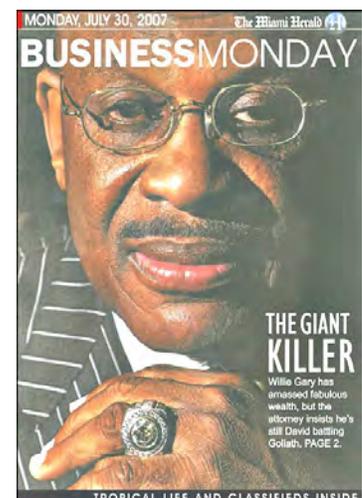
Gary’s scope of interest extends far beyond the courtroom. He is chairman of the Black Family Channel - the nation’s only African-American owned and operated 24-hour cable channel devoted to wholesome “family values” programming aimed at urban viewers. Gary also hosts a weekly talk show on the Black Family Channel featuring personal interviews with prominent guests.

Known as a businessman, churchman, humanitarian and philanthropist, Gary is deeply involved in charity and civic work. He is committed to enhancing the lives of young people through education. In 1994, he and his wife, Gloria, formed The Gary Foundation to carry out this formidable task. The Gary Foundation provides scholarships, direction and other resources to youth, so they can realize their dreams of achieving a higher education.

In 1991, Gary donated \$10.1 million to his alma mater Shaw University. He has also donated hundreds of thousands of dollars to dozens of Historically Black Colleges and Universities throughout the U.S. His national television campaign, “Education is Power,” encourages children to stay in school and be the best that they can be.

In addition to being a lawyer, a philanthropist, a media mogul and a motivational speaker, Gary continues to serve on the board of trustees of numerous universities and foundations. He has received honorary doctorates from dozens of colleges and universities. His extensive community activities include membership in the NAACP, Florida Guardsmen, Inc., Urban League, Civitan International, United Way of Martin County, Martin Memorial Hospital Foundation Council, and many others.

Gary has been featured in *Ebony* magazine as one of the “100 Most Influential Black Americans.” *Forbes* Magazine has listed him as one of the “Top 50 attorneys in the U.S.”



# The Agricultural and Labor Program, Inc.

## *Annual Corporate Meeting Luncheon and Board Installation*

Theme: *“Celebrating 50 Years of Community Services.  
Acknowledging the Past ... Preparing for the Future.”*

### MISTRESS OF CEREMONY

Stacy Campbell-Domineck, President and CEO  
CareerSource Polk - Lakeland, FL  
*ALPI Board Member*

Pledge of Allegiance

National Anthem ..... Eloise Dilligard, Sanford, FL

Welcome and Occasion..... Kim Johnson, Fort Pierce, FL  
*ALPI Board Member*

Greetings.....Victoria Murphy, Orlando, FL

Words of Inspiration ..... Rev. Vernon McQueen, Sanford, FL  
*ALPI Board Member*

Message from the Chairperson..... William Holt, Vero Beach, FL  
*ALPI Board Chairperson*

Musical Selection ..... Eloise Dilligard, Sanford, FL

Introduction of Keynote Speaker ..... Josephine Howard, Haines City, FL  
*ALPI Board Secretary*

Keynote Speaker ..... Willie E. Gary, Esq.  
*The Law Firm of Gary, Williams  
Parenti, Watson & Gary, PLLC*

### LUNCH

Recognition of Guests ..... Kimberly Ross, Clewiston, FL  
*ALPI Board Member*

ALPI Board Leadership & Community Services Awards ..... Deloris Johnson, Lakeland, FL  
*ALPI Chief Executive Officer*

ALPI Board Governance Support & Leadership Awards..... William Holt, Vero Beach, FL

Musical Selection ..... Eloise Dilligard, Sanford, FL

Program Participants’ Acknowledgements..... Marva Hawkins, Sanford, FL  
*ALPI Board Member/Special Events Committee Chairperson*

Board Installation..... Jonathan Thiele, Esq., Lakeland, FL  
*ALPI Board’s Legal Counselor  
Law Office of Jonathan Thiele, Esq., President*

Closing Remarks ..... William Holt, Vero Beach, FL

# Awards & Recognition

## ALPI AWARDS INFORMATION

### CORPORATE SUPPORT AWARD

*An annual award presented to a corporate organization or individual of a corporation for outstanding service rendered to the ALPI organization.*

#### 2018 Corporate Support Award Recipient

**Brant C. Martin, Chairman of the Board**  
*Jefferson-Allsopp, Inc.*

According to the 1920 Census, the population of Lakeland was 7,062. By 1925, the beginnings of the insurance agency that would later be known as Jefferson-Allsopp were taking shape. Today, Jefferson-Allsopp is a shining example of a successful family business. All of the principals of the agency are descendants of previous agency owners!

Through the years, the agency has weathered the storms of change, but has maintained the qualities on which it was founded. Jefferson-Allsopp offers a refreshing portrait of stability and longevity; some insurance company contracts date back more than 50 years. Additionally, of the firm's current employees, 35% have been with Jefferson-Allsopp for more than 25 years.

Jefferson-Allsopp supports the community through a variety of charitable organizations. They support the Boys and Girls Club of Lakeland and Mulberry, Lakeland City Baseball, Alliance for Independence, United Way, and Florida Southern College Baseball, Golf, and Basketball programs.

### GOVERNANCE SUPPORT

#### Board Chairperson's Award

*An annual award presented by the ALPI Board of Directors Chairperson to an individual for outstanding service beyond expectations to the organization.*

#### Chief Executive Officer's Award

*The award in this category is presented to ALPI's Chief Executive Officer in recognition of significant Agency's Management Accomplishments and Governance Leadership support rendered to advance the ALPI's vision and mission of helping socially, and economically disadvantaged families, children and farmworkers help themselves and each other.*

Board Chairperson's Award Recipient: TBA

Chief Executive Officer Award Recipient: Deloris Johnson

# Awards & Recognition

Every year the Agricultural and Labor Program, Inc., extends recognition and appreciation to its Governance Leadership, Shared Governance Leadership, Community Organizations, Corporate Partners and Agency Leadership who contributed to advance the ALPI's vision and mission to help socially and economically disadvantaged families, children and farmworkers help themselves and each other. Thus, it is with great pride that we present the following 2017 Awards and Recognitions.

## GOVERNANCE LEADERSHIP & COMMUNITY SUPPORT

This award is presented annually to the ALPI's Board Chairperson, Head Start/Early Head Start Policy Council Chairperson and the ALPI Housing Development Corporation Board Chairperson in recognition of significant contributions and exemplary Governance Leadership to advance the ALPI vision and mission to help socially, and economically disadvantaged families, children and farmworkers help themselves and each other.

### Board & Shared Governance Leadership Awards

ALPI Board of Directors Chairperson's Award Recipient: William Holt

Head Start Policy Council Chairperson's Award Recipient: Corey Williams

ALPI Housing Development Corporation Board Chairperson's Award Recipient: Phillip Howard

### Community Services Awards

*In recognition to a community individual for outstanding service in the community. This recognition award is a selection from ALPI geographic service areas and may be submitted by Regional Advisory Councils, Policy Council, Policy Committee and Division/Department Directors.*

#### HOUSE OF ISRAEL

House of Israel is a permanent faith based housing program with supportive services for women experiencing substance, alcohol, mental disorders and domestic violence as contributing factors to homelessness. The mission is to help women become mentally stable, emotionally balanced, socially adjusted, physically well and spiritually alive. The organization began operations in 2000 and are governed by a Board of Directors. They have consistently demonstrated over the years that they possess a solid foundation and the vision and energy required to accomplish what it undertakes. From the beginning they have been placing women back into society as productive members, with a zero recidivism rate. The House of Israel was established in 1997 by Maurice Nelson, Executive Director and founder. It is a not-for-profit 501(c)3 organization located in Ft. Meade, FL. In 2007 Maurice felt called to run for a city seat as a City Commissioner in Ft. Meade and won. During her tenure she was able to affect change, including the redevelopment of blighted areas to provide housing for homeless women.

#### REV. DR. KENNETH MILLS, SR. & REV. DR. DONNA MILLS

Kenneth Mills, Sr. and Donna Mills have been married for over 34 years. They have been community activists and advocates for over three decades. In 1989, they opened the Save Our Children Tutorial, Cultural and Recreational Center in Fort Pierce. In 1986, they opened the Bible Way Ministries, an inner city mission that provided services to many of Fort Pierce's poorest children. In 1992, they began mission work to Haiti and founded 3 schools and 2 churches. In 1999, they became foster parents for 6 boys. In 2009, Dr. Mills opened the Bible Way Academy Pre-school on Avenue D for children ages 2-5. In 2014, they closed Bible Way Academy to devote more time to Mrs. Mill's School Board position. Since beginning their ministry journey, they have established and successfully operated over 9 different ministries. They currently operate the Save Our Children, Inc. Tutorial, Cultural and Recreational Center and the S.L.C.S.D. Speakers Bureau. Theirs has been a life completely devoted to the service of their community.

#### WILLIAM R. MALOY

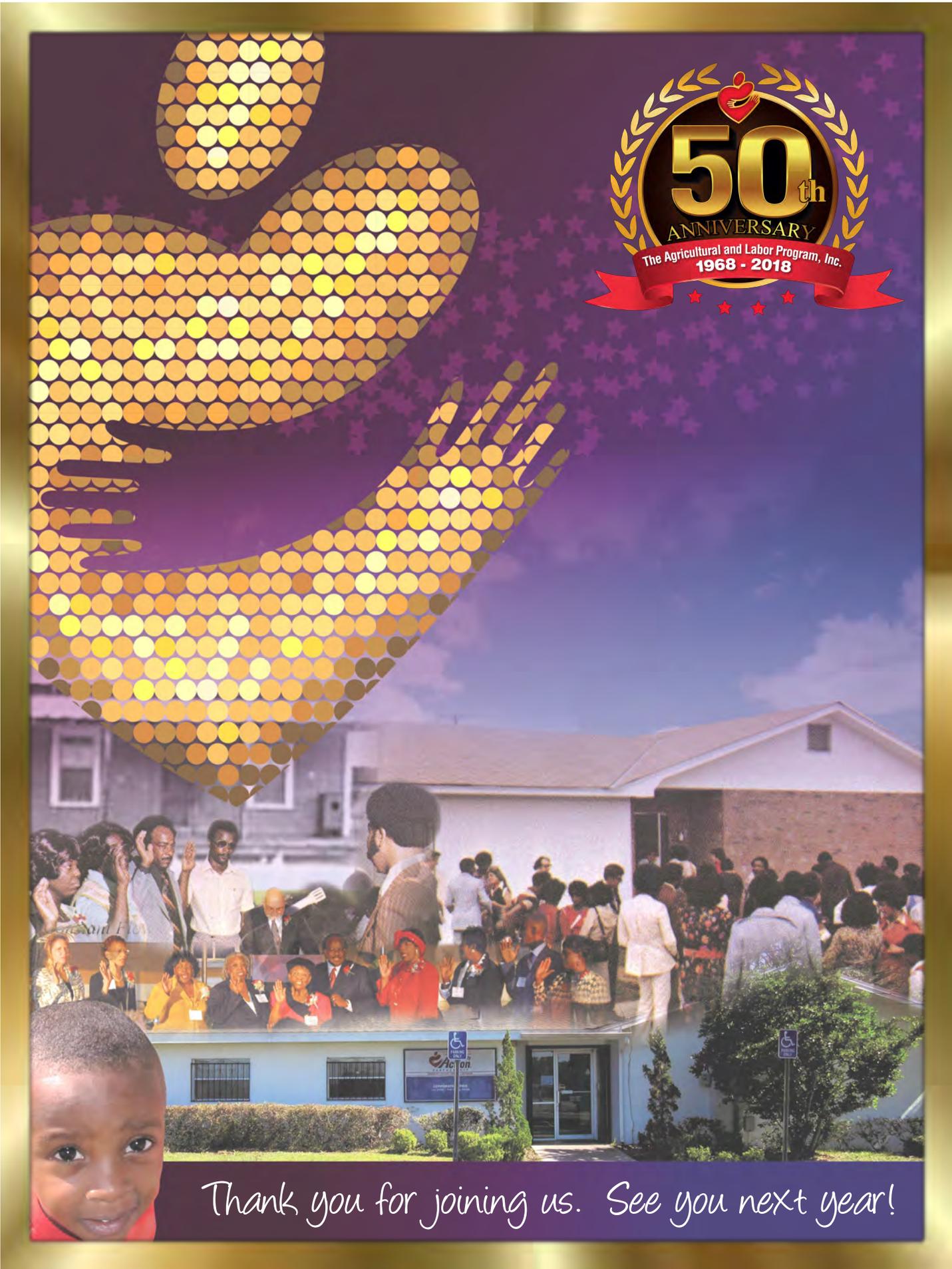
William R. Maloy is a humble and spirited small-business owner who transports produce and meat in refrigerated trucks. He travels to farms to pick up products to be delivered to other companies. He goes to these same vendors to purchase product to donate to his community, often telling them about his efforts, which then motivates the vendors to give him even more product at no cost. When he returns to his community he simply opens up the truck and gives everything away. Mr. Maloy throw a block party every year for the entire community of Frostproof, FL. He provides food such as hot dogs, hamburgers, fried fish, chicken, etc., as well as games for the children, all at no cost to the community. The community returns his generosity with great admiration and respect, often calling him "Uncle Spyder". He takes time out of his busy schedule to keep in touch with the community as well. The children tell him about school and their future dreams, and the senior citizens at the different centers he travels to always look forward to his wonderful visits.

#### YELDA (Youth Empowerment Leadership Development Academy)

YELDA was started in 2006 by Goldsboro Front Porch Council, Inc., under the leadership of Vernon McQueen, Chairman of the Board, and Commissioner Velma Williams, a consultant to the board. It is a paid internship program where students age 16-19 in the City of Sanford, who fall under the median income guidelines, can be employed for 8 weeks during the summer months. In 2016 the City of Sanford and Goldsboro Front Porch paired with CareerSource to provide opportunities for more youth to become employed. The students role play exercises on how to behave in the workplace and how to make informed decision as productive citizens. They're required to open a bank account to teach financial responsibility and parents are required to take part in at least 2 workshops. Since its inception, YELDA has established relationships with over 40 businesses, employed over 300 students with an average of 75% graduating from college.







The Agricultural and Labor Program, Inc.  
 Helping People. Changing Lives.

# community ACTION NEWSLETTER

QUARTERLY

PARTNERSHIP

AMERICA'S POVERTY FIGHTING NETWORK

FALL ISSUE 2017

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**ALPI**

## Head Start Alumni Returns To Visit

Kaylee Silva is somewhat of a celebrity at ALPI Head Start. Her image was one of 10 selected over 5 years ago for large canvas artworks that are showcased at ALPI Head Start locations.

Elizabeth Balzano and with special fondness, the late Ms. Willie Mae Bacon.

Her mom showed up one afternoon to pick up Kaylee's cousin who attends Queen Townsend Head Start Center II. She was so moved to see her daughter's little preschool face on the walls that she brought her back a short time later to visit.

Mom reports that she is an excellent student and a helpful, well behaved child. Kaylee is now ten, and mom credits her success to her great beginnings at ALPI Head Start. She remembers her teachers,



**CEO's CORNER**

### A Focus On Early Learning

PNC Grow Up Great

The first five years of life are a magical time, when the world is full of wonder and possibilities. It's also a time of opportunity, when young minds begin absorbing knowledge that forms the basis for all learning. PNC Grow Up Great Program helps children from birth through age five develop a passion for learning that lasts a lifetime - and can help set them on a path to success. That's why PNC Grow Up Great and PNC formed a \$350 million program dedicated to helping prepare America's youngest learners for great things in school - and life.

Since PNC began the program in 2004, it has distributed more than \$121 million in grants that help young children prepare for school by focusing on readiness in vocabulary development, math, science, financial education and the arts. Through these grants to nonprofit organizations, the program has impacted approximately 3 million children throughout 19 states and the District of Columbia.

I am proud to announce that ALPI Garden Terrace Head Start Center was selected to receive new books and puppet kits through the local PNC Grow up Great Program Initiative located in Ft. Pierce, FL. The Agricultural and Labor Program was also awarded a grant of \$3,000 through the PNC Grow Up Great "Grant for Great Hours" Program. The program recognizes the efforts of exceptional PNC employees who volunteer in support of nonprofit early education and school readiness programs.

**Thank You PNC!**

Deloris Johnson  
 Chief Executive Officer & Editor

## Frostproof Child Development Center 2nd Annual Alumni Picnic

On June 29, 2017 Frostproof Child Development held its 2nd Annual Alumni Picnic where families who have attended the center over its 49 years of existence are invited back to learn about resources available and what's been going on at the center. This year the center was honored to have FCDC Alumnus Anthony Gordon (pictured at right), Dealer Principle of Jarrod Gordon Ford in Davenport, as special guest speaker. He spoke passionately about his memories of the center and our responsibility to the community and the children. In addition to great food, a raffle was held. Raffle prizes were generously



donated by FCDC partners: Badcock Home Furnishings, Bagwell Lumber Company, First Baptist Hilltop Church, former MLB player Nicholas Gordon, McDonalds (Frostproof), Coca-Cola Bottling Co., Save-A-Lot (Frostproof), former NFL player Alvin Harper, and Mr. Willie Boynton. This year the center honored Mr. Gordon as the Alumni of the Year, Ms. Tanya Knapp as Employee of the Year, and Ms. Shena Hamilton as Parent of the Year.



# Frostproof Child Development Center Hosts Annual Health Fair



Frostproof Child Development Center hosted its 2017-2018 Health Fair on August 4, 2017. Health screenings were provided to the incoming children and parents were able to learn more about program requirements like education, child development, health, mental health, nutrition, disabilities, program governance, family and community partnerships, ERSEA, dental services, pedestrian safety/car seat safety and health screenings.



# A New JOURNEY BEGINS

Congratulations to Elizabeth Young, Deputy Director, Community Services and Economic Development Division, on her recent retirement. Although Mrs. Young retired as of July 28, 2017, she will continue working for ALPI as a consultant, through December 31, 2017.

Elizabeth Young's ALPI journey began as what she describes "a magical way." She picked up information in a grocery store parking lot in Haines City, Florida. The information read "A Project in Progress: A Status Report on the Agricultural and Labor Project of the Coca-Cola Company Food Division." Being a non-traditional thinker with experience in community based projects, she knew she had found her place.

Born in Damascus, Georgia, Mrs. Young attended Daytona Beach Community College and Bethune -Cookman University. She also completed specialized certification programs at University of Bridgeport and University of Massachusetts.

During her tenure at ALPI she has held various positions, including: Grant Writer, Area Manager, Acting Executive Director, Child Care Central Agency Director, Education Coordinator, Early Head Start Director, and Community Services and Economic Development Division Deputy Director. She is grateful for the tremendous support and leadership of ALPI's world-class chief executive officer, under the superb guidance of a dedicated Board of Directors.

When asked what she will miss most, she said "What I appreciate the most about ALPI is management staff's willingness to work together to accomplish goals, objectives and take responsibility for outcomes, positive or negative." She further stated, "My journey at ALPI has provided interaction with staff to help promote critical thinking to ensure that developmentally appropriate practices, inclusive of child safety, was consistently at the forefront at all times to provide an environment conducive to learning."

"My plans now are to spend as much time as possible with my family and especially focus on my beautiful grandchildren. And of course...travel is always in the mix!"



SITTING (L-R): Elizabeth Young, Child Development and Family Services Division, Deputy Director; Deloris Johnson, ALPI Chief Executive Officer.

STANDING (L-R): Mr. Freddie Young; Aletta Stroder, HS/EHS Program Operations (Polk Co.), Director; Albert Miller, Community Services and Economic Development Division, Deputy Director; PaHoua Lee-Yang, CSBG/Economic Development, Director; Cheryl Burnham, LIHEAP/Community Services, Director; Christine Samuel, Human Resources, Director; Twila Smith, Administration & Operations Quality Control Division, Director; Myrna Rodriguez, HS/EHS Program Operations (St. Lucie Co.), Director; and Dennis Gntewek, Finance Director.



## COMMUNITY ENGAGEMENT: It's Time to **Read!**

**TIME FOR READING!** ALPI Head Start believes that coordinating community engagement is an important part of our daily activities. ALPI Head Start creates and maintains a literacy-rich environment in every classroom through the use of word walls, books, and reading materials. Each classroom possesses a very special setting that encourages and supports speaking, listening, reading, and writing in a variety of authentic ways.

Those at ALPI Head Start understand the most important activity for building the knowledge required for eventual success in reading is reading aloud to children. Reading aloud builds motivation, curiosity and memory, helps children cope during times of stress or anxiety, creates a positive association with books and reading, and so much more. ALPI Head Start periodically engages community representatives to read aloud to the children in order to model that reading is a great way to spend time and expose children to complex vocabulary that they may not otherwise come across.



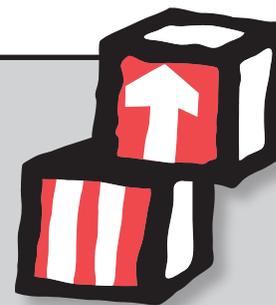
## Back to **SCHOOL**



### Children Return to Frostproof CDC

August 11, 2017 marked the first day of school at the Frostproof Child Development Center. The center had 93% of its children in school on the first day! Many were sad as they had to wave goodbye to their parents, but quickly comforted by the warm and loving ALPI Caregivers. Both caregivers and staff were very excited and ready to receive the incoming children.

## October is **HEAD START AWARENESS Month**



Every day, nearly one million children across the country walk through the doors of their local Head Start center and begin working, playing and learning their way toward success in Kindergarten and in life. Every October we celebrate the long and successful history of Head Start since October was first proclaimed Head Start Awareness Month by President Ronald Reagan on October 22, 1982.

**ALPI**

## Garden Terrace Head Start Center Awarded Books and Teaching Resources

**PNC Grow Up Great** is a \$350 million, multi-year, bilingual initiative that began in 2004 to help prepare children from birth to age 5 for success in school and life. To date, the program has served approximately 2.3 million children. Thanks to PNC Grow Up Great, Head Start teachers are now eligible to register for DonorsChoose.org! DonorsChoose.org allows anyone to help a classroom in need with the goal of moving us closer to a nation where students in every community have the tools and experiences they need for a great education. Teachers from every corner of America create classroom project requests, which are then posted on DonorsChoose.org and funded by donations from individual donors or corporate or foundation partners.

PNC Foundation funded hundreds of pre-K classroom requests as part of a new, \$5 million grant to DonorsChoose.org to give teachers the resources and experiences they need to inspire their students' love of learning. Teacher requests for educational resources range from books to art supplies, science equipment, field trips and more, according to DonorsChoose.org. Frequent requests include technology and visits from specialized educators.

A recent donation of \$504,000 flash funded 849 projects in public and charter pre-K classrooms in 22 states and Washington, D.C., where PNC does business. The PNC Foundation's gift also enables DonorsChoose.org to include project requests from Head Start teachers for the first time in its 17-year history. As a result of this flash funding, ALPI Garden Terrace Head Start Center was awarded a generous amount of beautiful new children's books and other teaching resources. These items will serve as exciting new learning tools for all the children at Garden Terrace.

"Head Start supports our nation's most vulnerable children by offering a comprehensive, high-quality early learning experience that prepares them for kindergarten and strengthens family participation in their children's learning," said Yasmina S. Vinci, executive director, National Head Start Association. "Our research shows almost all Head Start teachers are spending their own dollars on basic resources for students. This is a great opportunity to empower Head Start teachers to secure the resources needed to maximize the Head Start advantage."



# MAXIMIZING THE HEAD START ADVANTAGE



# ALPI 2017 SUMMER FEEDING PROGRAM

The ALPI Child Development and Family Services Division and Community Services and Economic Development Division continue to collaborate with the Polk County School



Board to provide services to the community of Frostproof through the Summer Feeding and Work Experience Program. The Summer Feeding and Work Experience program provides much needed services to the children of this economically challenged community over the summer break.

This year's program was once again located at the ALPI owned Lakeview Community Center and operated from June 9, 2017 thru July 28, 2017. The program provided meals to children between the ages of 1 and 18 years of age and served 75 meals daily (35 breakfast and 40 lunch). A total of 2,475 meals were served during program operation. Adequate supervision and fun educational age appropriate activities were coordinated by ALPI Child Development Services staff between meals and throughout

the day. The program was inspected twice by food program site inspection teams and ALPI is pleased to announce no findings were reported and the program was found to be in full compliance. Through the Summer Work Experience program the agency was able to employ two youths and provided hands on work experience assisting with feeding the children and activities at the center. This year a team of professional barbers from Faded Fresh Barber Shop in Lake Wales visited the program and provided free back-to-school haircuts.



## ALPI C.A.T. PROGRAM INSTRUCTOR AIDE *Selected for Distinguished Washington, DC Internship*

Juan Rangel is the After School Instructor Aide at ALPI's Computer Assisted Tutorial Program (C.A.T.). A "Beyond the Bell" program, ALPI's Computer Assisted Tutorial Program is an after school and summer enrichment program designed to help keep kids off the streets, increase positive decision making skills and improve academic performance.



The Congressional Hispanic Leadership Institute (CHLI) recently announced a new partnership with the National Migrant and Seasonal Head Start Association (NMSHSA), a division of the Head Start organization which focuses on providing resources such as education, healthcare, and childcare to agricultural migrant workers and their families. CHLI is a Washington, DC based organization advancing the Hispanic community's diversity of thought. It is the premier

organization founded by Members of Congress to advance the Hispanic community's economic progress with a focus on social responsibility and global competitiveness.

As a result of the partnership with Head Start, CHLI awarded a summer internship to our very own Juan Rangel. In addition to working for ALPI's C.A.T. program, Juan also attends Indian River State College in Fort Pierce, FL. Juan believes that his position with the ALPI C.A.T. program has provided him with the opportunity to make a positive impact on the lives of young children. His long term goal is to serve college students as an Athletic Director.

Juan's parents emigrated from Mexico in 1992 and worked as migrant farmers in Florida. His father had to travel to the Carolinas and New York for large portions of the year in order to provide for the family. They harvested oranges, apples, and tobacco and worked year-round. Because his parents had to be out in the fields almost every day, Juan and his siblings were often under the care of the East Coast National Migrant Seasonal Head Start program. "I am very happy to have been given this opportunity by NMSHSA and CHLI to start off my professional career," Juan said of his internship placement.

***Congratulations to Juan on having been selected for this internship ... it is indeed a great honor.***

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PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County

January 27, 2018

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ALPI 50th ANNUAL CORPORATE MEETING & LUNCHEON

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Look for more information on our website [www.ALPI.org](http://www.ALPI.org)

SAVE THE DATE

The ALPI Newsletter is Published by The Agricultural and Labor Program, Inc.

The ALPI Newsletter is a quarterly publication designed to inspire and inform all employees, volunteers, parents, partners, and supporters of ALPI who have helped us through the years to grow the organization into what it has become today. We welcome your suggestions, comments, and ideas. Have a question about a feature? Heard an interesting story? Share it with us by phone, mail, or fax (refer to Contact Information).

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# community **Action** *QUARTERLY* Newsletter

PARTNERSHIP

AMERICA'S POVERTY FIGHTING NETWORK

SPRING ISSUE 2017

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## 2017 Annual Corporate Meeting and Luncheon

ALPI's 2017 Annual Corporate Meeting and Luncheon was held on Saturday, January 21, 2017, at the Rosen Centre Hotel in Orlando, Florida. This year's meeting marked 49 years of the Agricultural and Labor Program, Inc. providing services to socially and economically disadvantaged children and families throughout the State of Florida. Over 400 Corporate partners, Board members, and guests attended ALPI's largest annual event. The theme for this year's event was: "Embracing Change, Empowering People."



expertly performed by Jazmin Ghent. The event's keynote speaker, Dr. Robert Lemon, was introduced by Tychus Doe, Ft. Pierce, FL (ALPI Policy Council Member).

This year's Guest Speaker, **ROBERT LEMON**, is a noted author, motivational speaker and consultant. His presentation was incredibly dynamic and inspirational. Dr. Lemon shared his personal life story of growing up very poor, struggling against all odds, and overcoming great challenges to achieve his own personal level of success. He said, "We must challenge our limits. Average is over. We must go from beyond training our employees to educating our employees. Go beyond transaction to transformation. Organizations must go beyond average and reveal to employees who we are and what we do. We must elevate our employees and focus on changing beliefs. We must engage and connect and help and embrace the organization. Rather than just share information, we must share wisdom. By doing this, you build respect and staff will be increasingly loyal. We have to embrace change and empower people". After sharing insight into his own international travels and how he has been impacted by the struggles and successes of other cultures, he went on to say, "Being responsible means being a good example. Being a good example means setting excellent standards. If you change your



Mistress of Ceremonies for this year's luncheon was **LAVITA HOLMES**, Clewiston, FL (ALPI Board Member). The National Anthem was beautifully presented by Jazmin Ghent of Mulberry, FL. Welcome and Occasion message was delivered by Stacy Campbell-Domineck, Lakeland, FL (ALPI Board Member). Greetings were extended by Commissioner Victoria Siplin of Orlando, FL (Orange County Board of County Commissioners). Words of Inspiration were shared by David Walker, Esq, Stuart, FL (ALPI Board Chairperson), followed immediately by a message from the ALPI Board Chairperson, William Holt of Vero Beach, FL. A musical selection was

**CEO's CORNER**

### Successful Governance and Leadership

What is governance and leadership? Governance is the process of providing strategic leadership to a nonprofit organization. It entails the functions of setting direction, making policy and strategy decisions, overseeing and monitoring organizational performance, and ensuring overall accountability. Exemplary governance and leadership development is driven by a strong and engaged Board of Directors. Dedication and many volunteer hours is the key to the realization of positive outcomes to ensure ongoing compliance with programmatic and regulatory mandates in a timely manner. The concepts of **leadership and governance** encompass strategic directions, plans and policies, effective oversight, motivation, and partnerships that integrate all organizational management and support systems to achieve results.

Every year the ALPI Board of Directors convenes its Management Planning Retreat to review the ALPI organization's Strategic Plan in order to maintain a viable "road map" for the future direction of the organization and to develop and revise strategies to accomplish the plan's identified goals. The ALPI management, in conjunction with the ALPI Board of Directors, continues to jointly plan and implement activities that allow for ongoing progress toward accomplishing each goal. Subsequently, the challenges, opportunities, and accomplishments are shared in our corporate meeting to ensure that the "Embracing Change ... Empowering People" wheel continues to move forward to help people help themselves and each other.

On behalf of the ALPI Board of Directors, under the leadership of Mr. William Holt, Board Chairperson, it is with great pride that I share with you in this newsletter edition, a snap shot of the ALPI program accomplishments and annual meeting. My sincere "Thanks" to all ALPI Stakeholders for your continued support and involvement in our ongoing efforts.

Deloris Johnson  
 Chief Executive Officer & Editor

Continued on page 2

Continued from page 1

people's beliefs, they become more productive and more efficient."

Following the speaker, guests were recognized by Chester McNorton, Daytona, FL (ALPI Board Member). Awards and recognitions were bestowed by William Holt (ALPI Board Chairperson) and Deloris Johnson, Lakeland, FL (ALPI Chief Executive Officer). Program participants were acknowledged by Marva Hawkins, Sanford, FL (Chairperson, ALPI Special Events Committee), with Board installations performed by Jonathan Thiele, Esq. of Lakeland, FL (ALPI Board Counsel). Closing remarks were given by William Holt and Deloris Johnson.



# National Recording Artist Performs at ALPI Annual Corporate Meeting and Luncheon



This year's ALPI Annual Corporate Meeting and Luncheon musical performer was Ms. Jazmin Ghent. Jazmin is a very soulful, passionate and dynamic saxophonist known for her exceptional tone quality and her ability to combine her gospel roots to create a fresh new sound

in the smooth jazz music industry. Jazmin's debut cd, "Boss", was successful in 2015 with her chart topping singles, "Compared to What" and "Boss". The CD was #32 according to Smooth Jazz Global radio's top 50 Smooth Jazz CDs for 2015. Compared to What gained national recognition and was #5 on Smooth Jazz Charts. Jazmin has since released her sophomore album, "Chocolate Sunshine", which has also become a great personal and commercial success. Guests in attendance thoroughly enjoyed Jazmin's performances, for which she received multiple standing ovations.



## ALPI's 2017 Awards Recipients

The following were awarded during the 2017 Annual Corporate Meeting and Luncheon

### Board & Shared Governance Leadership Awards

ALPI Board of Directors Chairperson's Award  
WILLIAM HOLT

Head Start/Early Head Start Policy Council Chairperson's Award  
MERCADEZ ESTIME-CONNELLY

ALPI Housing Development Corporation Board Chairperson's Award  
PHILLIP HOWARD

### Governance Support Awards

Board Chairperson's Award  
JOSEPHINE HOWARD

Robert J. Bryant, Jr. Award  
KATIE CLARKE

CEO Recognition Award  
DELORIS JOHNSON

### Community Services Awards

ARTHUR SHEFFIELD  
(Eastern Region)

ALLEN CHAPEL AME CHURCH  
(Northern Region)

"B" STREET COMMUNITY SERVICE CENTER  
(Southern Region)

LIBBIE COMBEE LELAND FAMILY MINISTRIES  
(Central Region)

### Corporate Support Award

PNC BANK  
(Grow Up Great Program)

ALPI PROUDLY PRESENTS THE  
**2017 Board of Directors**



**TOP ROW** (l-r): Kimberly Ross, Josephine Howard (Secretary), Chester McNorton, LaVita Holmes, David Walker, Esq. (Vice Chairperson), Stacy Campbell-Domineck, Patricia Gamble, Vernon McQueen

**BOTTOM ROW** (l-r): Ruby Willix, William Holt (Chairperson), Katie Clarke, Corey Williams, Marjorie Gaskin, Marva Hawkins

**NOT PICTURED:** Dorothy Curry, Glenda Jones, Kim Johnson, Lester Roberts, Annie Robinson, Samuel Thomas

**ALPI 2017**

**ANNUAL STAFF TRAINING CONFERENCE**

This year's staff training conference included a dynamic group of trainers who came ready to discuss topics relevant to many challenging issues found in the workplace today, along with a special focus on adaptability and motivation/response. The cutting-edge training was organized in a manner that would enable ALPI's continued transformation into a singular model of what community action is all about.

The training conference began with the traditional staff luncheon, and was immediately followed by an all-staff general session presentation: Risk Management Strategies: Workplace Health and Safety Environment. The presentation was made by Calvin McKinley, Summit

Consulting Loss Prevention Manager.

Conference organizers worked diligently to enlist nationally recognized presenters who brought with them a vast amount of experience in their respective fields. Workshops available to staff included: The Best of Ourselves! (exploring the key to healing from within and improving our wellbeing); Sensitivity Training/Workplace Diversity Awareness (discussion on sensitivity awareness and behavioral flexibility); Penny Pinching Priorities - Becoming a Strategic Shopper (building a budget plan, etc.); Prepare for the Unexpected (learning immediate steps to prepare and manage the impact of financial "surprises"); and much more.



# ALPI PARTNERS WITH RIDGE TECHNICAL COLLEGE

**ALPI'S CSBG FAMILY SELF-SUFFICIENCY PROGRAM** representatives attend an annual Open House at Ridge Technical College. Ridge Technical College offers professional training and certification in some of the fastest growing careers in the nation, with more than 20 available pathways. The college provides students with practical educational experience that is currently in high demand. The relevant and skill-based training offered is an alternative to the traditional college experience, but yet still provides direct access to the American dream.

At the Open House, ALPI representatives provide detailed information about the Family Self-Sufficiency Program (FSSP), as well as all other ALPI programs. Any questions regarding any of the programs are answered and interested clients are given a number to call to set up an appointment to attend an orientation or seek other services, as the case may be. At the orientation, the FSSP is discussed in great detail and those interested in applying to the program may do so after completing the orientation.

Under the FSSP, an eligible client is provided services through ongoing case management with the ultimate outcome being the enhancement of a family's ability to meet their own basic needs. Participation in the FSSP is based on the family's income level as well as the availability of Case Manager slots. The client is assigned a Case Manager for the duration of his/her participation in the FSSP. The Case Manager completes an initial assessment with the client and develops a case plan to determine appropriate activities/goals for the client and his/her family. Such activities/goals may include assisting the client and his/her family in: securing and retaining meaningful employment, obtaining adequate



*Sheila Armstead, ALPI Client Services Specialist II (case manager) and ALPI Family Self-Sufficiency Program client, Mimi Lee, who is currently enrolled in the Ridge Technical College LPN Program.*

education, developing and following a budget, linking to appropriate community resources, pursuing job training and much more.

The Case Manager continues to work with the client in providing support, on an on-going basis, via telephone and office visits, to assist with completion of the case plan and attainment of self-sufficiency. The FSSP is unique to each client and may range from a few months to a year or more, with an average participation period of six months. The length and scope of the FSSP primarily depends upon the client's needs and is completely customized to their unique situation.



## ALPI Frostproof Child Development Center

### *Father-Daughter, Mommy and Me Jamboree*

The ALPI Frostproof Child Development Center recently held its first annual **Father-Daughter, Mommy and Me Jamboree**. The event was a huge success and the large turn-out was unexpected. Frostproof Child Development Center children are always happy when their parents come out to support them and this was evident by all the smiles on the children's happy faces. This event wrapped up the center's Healthy Heart Initiative of getting families and children moving and physically active, while celebrating milestones together.



## SHARED GOVERNANCE ORIENTATION



The 2017 Shared Governance Orientation was held at the Chain O'Lakes Complex in Winter Haven, Florida on February 25, 2017. The purpose of the Shared Governance Orientation is to provide newly elected and experience Board members, Head Start/EHS Policy Council Members and Regional Advisory Council Members with an overview of the agency's governance practices and regulatory requirements.

Shared Governance Orientation is critical to getting organization-wide buy-in to the agency's mission, values, organizational identity and strategic plans. It helps improve communication and participation, and it empowers new members with the tools they need to promote the agency's planned agenda and programs in the community.

The Shared Governance Orientation session is the first step to ensure that board members, Head Start/EHS Policy Council Members, and Regional Advisory Council Members are active, engaged, educated, and ready to participate in the shared governance of the organization.

# ROBERT J. BRYANT, JR. AWARD

presented to **ALPI Board Member**



## Katie Clarke

*“I have been working with people and children most of my life because my job in Ohio taught me to take a little and do a lot with it. For as long as I can remember, I have been trying to make a better life for my family and for all those in my community. So long as I can still stand, I will never stop trying to make a difference.”*

William Holt, ALPI Board Chairman, and Katie Clarke, ALPI Board Member

The Robert J. Bryant, Jr. Award is presented annually at the Corporate Meeting and Luncheon. This prestigious award is named in honor of Robert J. Bryant, Jr., past ALPI Board Member and Chairperson of the ALPI Board of Directors. Mr. Bryant’s legacy is one of outstanding service to the Agricultural and Labor Program, Inc. He consistently exceeded all established expectations and did so with joy and conviction. This year’s Robert J. Bryant, Jr. Award was presented to Katie Clarke (ALPI Board Member).

Katie Sams (Clarke) was born in 1934 in Sebring, FL to the Rev. Ira Sams and Ceola White Sams. She was raised in Avon Park, FL, where she attended school until the 9th grade. The family then briefly moved to Cleveland, OH, relocated to Philadelphia, PA, and eventually returned to Ohio where she graduated from high school. After graduation, Ms. Clarke attended Duke Business College in Cleveland, but ultimately decided to take time off to start a family. After her family was well established, she decided to return to school. Having successfully finished a business program, she was hired by the State Welfare Department where she worked for the next two years.

She tells the story of how one day, while sitting at her desk performing her normal work duties, her supervisor called her into his office. He said, “The FBI wants to talk to you Katie.” She was shocked and terribly scared ... she couldn’t understand why the FBI would be investigating her of all people! Her supervisor then explained that she had been the subject of a thorough background check because she was being considered for a job with the federal government. She turned in her resignation that very same day and was told to report to her new position the following Monday. The new job was a simple setup that consisted of a few desks, old manual typewriters and not much else. When she met her new boss she had no idea what her new work duties would entail, but she was still delighted and excited to be where she was. Her first project, like many projects thereafter, would be to write

a grant request for a summer program for preschool children from low income families. She describes having to do countless community surveys and go to different churches in the community the grant was being written for. The grant was approved and not only were the children in the community served, but the program created many different jobs for adults in the community as well.

Thereafter, she wrote many other grant requests, too many to recall, but the grants ran the spectrum from summer work programs for teenagers to community support for the elderly and everything and everyone in between. It was that first job working for the federal government that provided her first vehicle and her first airplane ride, it was a wonderful time filled with many “first” experiences. In 1975 Ms. Clarke visited family in Florida and decided to move back, but this time to Frostproof, FL, where she has lived to this day. After moving back, she began working at the public library, supervised by Christine Wilson. Ms. Wilson would go on to work for ALPI and does so to this day. Ms. Clarke then found employment with the local phone company, United Telephone, from which she happily retired twenty years later.

Throughout her entire life, Ms. Katie Clarke has been a voice for the disenfranchised and a representative for those who otherwise would remain invisible. She is very demure and speaks softly, but she is a force to be reckoned with when it comes to defending the rights of the under-served and the unrepresented. Even after her retirement, she continued her relentless activism in the community. She was the first African-American in Frostproof to be over a voting district, a key player in bringing integration to the Silver Hills Cemetery, developed a meal program for the local community center (with the help of retired grandmothers as volunteers), received funding to establish a public park for the local children, and much more. Never one to rest while there is so much need in the world, today she is working to get funding for the installation of speed-bumps in the local parks.

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PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County

June 24, 2017

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ALPI 2017 ANNUAL FAMILY PICNIC

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*Lake Parker Park/Osprey Pavilion  
in Lakeland, Florida*

SAVE THE DATE

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The ALPI Newsletter is a quarterly publication designed to inspire and inform all employees, volunteers, parents, partners, and supporters of ALPI who have helped us through the years to grow the organization into what it has become today. We welcome your suggestions, comments, and ideas. Have a question about a feature? Heard an interesting story? Share it with us by phone, mail, or fax (refer to Contact Information).

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# community **Action** QUARTERLY Newsletter

PARTNERSHIP

AMERICA'S POVERTY FIGHTING NETWORK

SUMMER ISSUE 2017

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# THE Seed OF Self-Sufficiency

**CEO's CORNER**

**EFFECTIVE PARTNERSHIPS:  
 To Be Or Not To Be**

A partnership is an arrangement between two or more groups, organizations or individuals to work together to achieve common aims. The term is now widely used and sometimes it's applied to situations where one powerful organization is doing no more than consulting with others, or where one organization is simply buying something off another. But these are not real partnerships in the true sense. So what distinguishes such interactions from a true partnership? **Tips for successful partnerships:** Partnerships have great potential for advancing a cause, tackling difficult issues and accessing funding. The key is to use your judgement and management skills and try to follow best practice wherever possible. **Keep your eyes on the prize:** Any funder is going to want to know that what has been funded is actually taking place. In addition, the funder may have assessment or evaluation criteria that must be built into the design of the partnership. Try to determine in advance what the expectations are, what systems are to be used for data gathering and what measures of success are important to the funders.

It is the belief of The Agricultural and Labor Program, Inc. (ALPI) that meaningful partnerships enhance community engagement, increase community awareness of the issues being addressed and establish a framework for the continued support of services that support community advocacy efforts. This includes the creation and expansion of programs and services, changing public policies, laws, and practices to improve the lives of families seeking a hand up. Over the years, ALPI has partnered with over 300 different agencies in the State of Florida and currently maintains LIHEAP, CSBG and Head Start/Early Head Start subcontract agreements with over 16 different non-profit organizations in 7 counties in the State of Florida. **PARTNERSHIPS WORKS!**

Deloris Johnson  
 Chief Executive Officer & Editor

On a recent Saturday evening I was sitting in an auditorium waiting for the performances to begin, looking through the playbill at the names of the young performers and I happened upon the name of K., a seventh grade trumpet player. I recognized the unique name as the sibling of a student from my first year as a Head



Start teacher. I had K.P.'s younger brother, O., in my class as well that year. This was a family that struggled tremendously for stability. Only the dad was employed, part time, mom had not finished high school. They had a third child who had a host of medical issues and mom was pregnant again by the close of the school year. I recalled how hard it was to keep the family in the program; they moved frequently and the father abandoned the family by the time the third brother, D. became my student at ALPI Head Start. We worked hard to keep them with us, teaching staff, FSW Ana Williams and CDSM. As with many families, we sent D., off to kindergarten with our hopes and best wishes for some success.

Clearly, there was success. K.P. was there on stage, first year student, a seventh grade trumpet player. This event requires that a student be recommended by his band director because of his technical achievements in music and his dedication to the band program. He has to be approved and selected to be part of the event. He has to

be academically sound in all of his classes because rehearsal requires being excused from school for several days. K.P. was all of these things, apparently, because he was seated there with peers from surrounding counties who likely came from economically and socially less challenging circumstances. In the audience, many rows ahead of me and out of my reach was his family, cheering him on, the younger brothers looking healthy and wearing tee shirts from other school activities. A family had survived, intact. A successful family intact. The music was never more beautiful.

Rarely do we have opportunities to see the seed of self-sufficiency grown into a family that is established, a family flourishing. We must all remember there is an abundance of treasure in every small investment of time and effort that we make.

Ellen M. Bradley  
 Child Development Services Manager II,  
 ALPI Queen Townsend Head Start Center II



## A Trip Down Memory Lane...

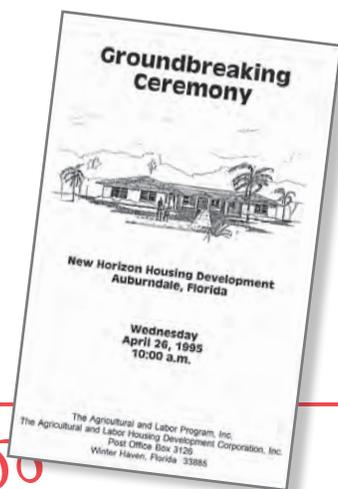
The Agricultural and Labor Housing Development Corporation, Inc.

During the 1991-92 program year, The Agricultural and Labor Program, Inc. began to pursue a longstanding need for decent, sanitary, low-cost rental housing for farmworkers and their families. ALPI contracted the Danter Company, Inc. to conduct a market analysis of affordable rental housing in Polk County. A very severe shortage of affordable rental housing for migrant and seasonal farmworkers was identified. During the Spring of 1992, ALPI, with the assistance of Florida Non-Profit Housing, Inc., developed and submitted a pre-application for farmworker housing to the Department of Agriculture. ALPI's proposal was to build a 57 farmworker families apartment complex composed of multi-sized, single family units. The development would also include a management office, day care center, play area, laundry facilities, community room and storage area. A new corpora-

tion was born: The Agricultural and Labor Housing Development Corporation, Inc.

On December 29, 1993, ALPI was notified by then Congressman Charles T. Canady of the 12th Congressional District that the project was approved.

Today, the apartment complex continues to provide affordable housing for qualifying residents and historically runs at maximum occupancy.



## ALPI CEO honored with prestigious Lifetime Achievement Award

ALPI Chief Executive Officer, Deloris Johnson, was presented with the 2017 Community Action Heroes of Excellence Award during the Florida Association for Community Action (FACA), Inc. 37<sup>th</sup> Annual Training Conference held in Jacksonville, Florida. Recipients of this prestigious award must demonstrate steadfast service to the Florida Community Action Network over a period of 20 years or more. In addition to time in service, recipients must also have contributed significantly in the areas of combating poverty, advocating for issues affecting low-income individuals, and/or serving in a management, leadership or governance role. Congratulations to Ms. Deloris Johnson on this lifetime achievement award.



Left to Right: PaHoua Lee-Yang, CSBG/Economic Development, Director; Deloris Johnson, ALPI Chief Executive Officer; and, Albert Miller, Community Services and Economic Development Division, Deputy Director.

## 2017 COMMUNITY ACTION PARTNERSHIP Annual Convention



The 2017 Community Action Partnership Annual Convention was held this year in Philadelphia, PA. The theme was: Community Action: Transforming Communities, Changing Lives. The event brought together Community Action leaders, board members, staff, and volunteers from across the nation. More than 100 educational workshops were offered, in addition to inspirational presenters and fresh, new innovative approaches to transforming families and communities. Participating ALPI staff were also able to experience an exceptional presentation on the proposed federal budget and advocacy-related issues facing Community Action.



# 2017 SHE KNOWS WHERE SHE'S GOING Award



Congratulations to Christine Samuel, ALPI Human Resources Director! Ms. Samuel was recently honored for her community service and concern for girls. She was one of three women selected from among 20 nominees for the 2017 She Knows Where She's Going Award.

This is the 28th year Girls Inc. of Lakeland, the nonprofit group that provides programs and mentorship to mostly low-income youth, has honored women for their community service and concern for young girls.

"We're here today celebrating 20 amazing women," said Kay Fields, president and CEO of Girls, Inc. of Lakeland. "I can't thank the girls enough because without girls there would be no Girls, Inc. I can't thank the parents enough because without the parents, there would

be no girls. And I can't thank the women enough."

Ms. Samuel is the board president of Girls, Inc. of Winter Haven. She has been known to use her own personal story to help girls understand that if she can do it, they can do it too. She was a struggling single mom raising three sons, working two full time jobs, and still managed to go back to school and even find time to volunteer in her community. She proudly embraces the challenges and successes in her life because they helped shape her into the person she is today.

As she received her award and all the accolades that went along with it, she simply said,

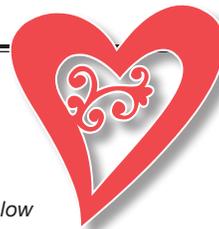
*"I believe in my heart  
I was born to serve."*

## School Supplies for Needy Families



On July 18, 2017 the IBM Southeast Employees' Credit Union (IBMSECU) donated school supplies, fresh food, backpacks and \$25 gift cards to 25 children enrolled in the ALPI Head Start Program. The items came just in time as the children transitioned to public schools. The event was held at the ALPI Child Development and Family Services Center located in Port St. Lucie, FL. ALPI Head Start thanks IBMSECU for all their support.

## With Gratitude and Thanks...



The letter below was sent to Sophia Harris, ALPI Client Services Specialist II/Job Developer. Mrs. Harris, like all ALPI staff, believe in making a difference in people's lives by doing "whatever it takes" each and every day.

Dear Mrs. Harris:

I tearfully thank you from the bottom of my heart, for all that you have done for me. Thank you for being so patient with me.

When I came to you, my mom was suffering from breast cancer. I was desperate for help. I needed to help her. You embraced me, encouraged me; you even pushed me ... and I thank you that even when I failed the first part of my test, you encouraged me to try again, and I did Ms. Sophia ... and I PASSED!

I just want to say thank you for always being there ... even when I would walk in your office without an appointment, you welcomed me ... you put everything aside ... and you helped me. You even helped me to get my first job through Bella Vista, and another one at Utopia.

I can't say how much I appreciate this program. Now, I can look forward to making more money to help support myself and my mom!

Thank you again.  
Sincerely, Rashida Burgess

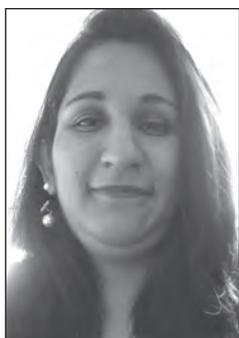
# ALPI Technical Education Center (ATEC)

## Success Stories



For more than 12 years the Agricultural and Labor Program, Incorporated (ALPI) has been operating a vocational/technical center in Volusia County. The ALPI Technical Education Center (ATEC) was first established around 2005 to provide ALPI's farmworker clients with training for an alternative career as Nursing Assistants. Through its license with the Commission for Independent Education, ALPI has provided diplomas to many farmworkers in the Deland area. In 2010, ALPI received licensing for Home Health Aide training. This enabled ALPI to reach more of the community and offer more alternatives in obtaining healthcare related training. Below are two success stories resulting from this program.

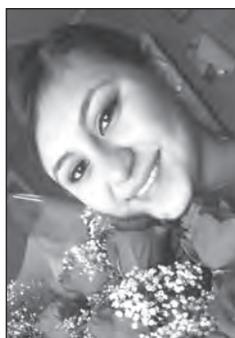
### *Maria D. Avila Lopez*



Born in Zacatecas, Mexico, Maria's parents brought her to the US when she was 3. Her parents were agricultural workers who worked in the fields all their lives. With three children of her own, she knew she had to do something to better her life and thereby, the lives of her children. She never graduated high school, but was prepared to do whatever it took

to turn her life around. She applied for a work permit, which then allowed her to get a driver's license and ultimately a job. She went through the Putnam County Migrant Program/DOE in order to take the ALPI CNA prep and HHA class. Maria was able to then pass the Certified Nursing Assistant state test and today she is a CNA and a Home Health Aide. Maria currently works at Lakewood Nursing Center.

### *Jessica Lopez*



Jessica was born in Mexico City, Mexico and was brought to the United States when she was almost two years old. She and three siblings were raised by her mom (an agricultural worker) and stepdad. She graduated from Taylor Middle High School in Pierson, Florida. Jessica was able to benefit from the DACA (The Dreamers Act) through a two year work permit. She quickly obtained her driver's license and was then ready to seek employment after

graduation. Jessica went through the Putnam County Migrant Program in order to help her pay for her ALPI CNA prep class. She then went on to pass her CNA state certification test and is now working in a nursing home. She is enrolled in the LPN program at Daytona State College. Because of her status, she does not qualify for financial aid, but she is happy to work hard to pay for her classes. She is currently and happily employed at Parkside Rehabilitation Center.

## ALPI 2017 Annual Family Picnic



ALPI staff work very hard all year long serving others and helping to further the agency's mission, which is why this event has become something so many look forward to. ALPI's annual family picnic is a special day set aside every year for nothing but fun, rest, and relaxation. It is a day for staff and their families, along with ALPI Board members, to come together and enjoy a sunny Florida day, great barbeque and lots of camaraderie. This year's picnic was held on June 24, 2017 at Lake Parker Park/Osprey Pavilion in Lakeland, FL.

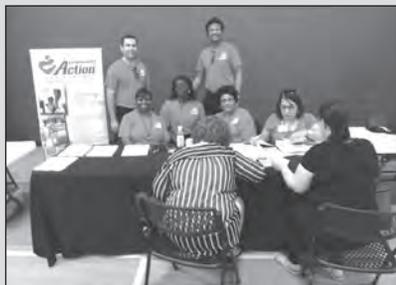




ALPI Participates at

# IRMA

## Recovery Assistance Center



In response to the devastation caused by Hurricane Irma, U.S. Senator Marco Rubio (R-FL) announced his staff would host comprehensive recovery assistance centers throughout Florida. Residents affected by the hurricane were able to sign up for FEMA assistance, as well as visit the “insurance village” comprised of property insurance companies providing on-site assistance with the filing of claims and general inquiries. The event was a public/private partnership of federal and state agencies, charitable organizations and companies gathering to provide critical resources.

ALPI LIHEAP staff attended the Naples event on September 20, 2017. The event was an overwhelming

success in that the number of attendees was unexpected and quickly surpassed even the highest anticipated number. Although many visitors to the ALPI table looking for assistance did not have proper documentation, no one was turned away. Applications were handed out, assistance was provided with completion of the applications, all questions were answered, and visitors were told where to go in order to finalize their application, once they had the required documentation available. In addition, ALPI plans to work with other agencies in the area to schedule a day and location, in the immediate future, for an “Energy Fair”. This will allow ALPI to assist even more members of the community.

Over 32 insurance companies participated in the event, as well as over 22 agencies, organizations and companies ready to provide critical services. The Agricultural and Labor Program, Inc. is proud to count itself a partner in this critical outreach to the resilient residents of the State of Florida.



## ALPI EMERGENCY ASSISTANCE MIGRANT AND SEASONAL FARMWORKER PROGRAM



ALPI's Emergency Assistance under the Migrant and Seasonal Farmworker Program is a statewide program funded through the Department of Education (DOE) and Florida Non-Profit Housing. This program provides emergency assistance to qualifying farmworkers and their families. Farmworker job duties include field labor, which can consist of picking vegetables and fruits, packing houses and juice plants. These funds can help with: rent assistance (with landlord verification), food vouchers (Publix), water bills, gas bills (cooking gas), electric bills, and gasoline cards.

During the 2016-2017 contract year the following were served: Florida Non-Profit Housing funds (\$24,000): 104 clients served, providing rental, light and water assistance to farmworker families. DOE funds (\$31,200): 313 clients served, providing food cards, gas cards, water and electric assistance to farmworker families.

# CONTACT INFORMATION

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 Admin@ALPI.org

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Elizabeth Young, Deputy Director  
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 EYoung@ALPI.org

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PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County

January 27, 2018

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ALPI 50th ANNUAL CORPORATE MEETING & LUNCHEON

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Look for more information in the next edition

SAVE THE DATE

The ALPI Newsletter is Published by The Agricultural and Labor Program, Inc.

The ALPI Newsletter is a quarterly publication designed to inspire and inform all employees, volunteers, parents, partners, and supporters of ALPI who have helped us through the years to grow the organization into what it has become today. We welcome your suggestions, comments, and ideas. Have a question about a feature? Heard an interesting story? Share it with us by phone, mail, or fax (refer to Contact Information).

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**ALPI**  
AGRICULTURAL AND LABOR PROGRAM, INC.

CELEBRATING  
**50**  
YEARS

of Community Services

“Acknowledging the Past ...  
Preparing for the Future.”

*2018 Annual Corporate Meeting & Luncheon*



January 26-27, 2018

Rosen Centre Hotel • 9840 International Drive • Orlando, FL 32819

# The Mission

To propose, implement and advocate developmental and human service delivery programs for the socially and economically disadvantaged, children and families, and farmworkers.

## *Celebrating 50 Years of Service*



### THE PROMISE OF COMMUNITY ACTION

Community Action changes people's lives, embodies the spirit of hope, improves communities, and makes America a better place to live. We care about the entire community, and we are dedicated to helping people help themselves and each other.

# Greetings from the Board

## The Agricultural and Labor Program, Inc. How We Stand

On behalf of the ALPI Board of Directors, I wish to extend a very warm welcome to our many friends, community leaders, elected officials, corporate members and staff. As our theme reflects, today we are “Celebrating 50 years of community services. Acknowledging the past ... preparing for the future.”

With the present administration in Washington, D.C. holding community action’s future in their hands, we stand united in our quest to persevere. We have weathered many storms and challenges, but yet we still stand. We stand for caring for people and for those who have less! We stand for those who need a hand-up, not a hand-out. We stand for justice and equality for all of the socially and economically disadvantaged children, families and farmworkers that we proudly serve. We will never relent nor will we subject our clients to anything less than being advocates for inclusion.

To Deloris Johnson, the Chief Executive Officer of this great organization, you gave us the vision, the knowledge, the wherewithal and the experience to help us pave our way deep into the future. You are truly our greatest asset. It is because of you at the ALPI helm that we have been able to achieve so much. We are proud of where we are today and excited about where we are going because of you and your leadership.

Thank you to all our guests, the ALPI Board of Directors and our amazing staff. It is because of people like you that we are able to gather here today to celebrate this amazing milestone. Finally, a special message to our own **Lester Roberts (ALPI Board Member)** who could not be present today. We salute you Lester for your unwavering dedication to the Agricultural and Labor Program and your untiring efforts in helping extend our mission. Please know that you will always be a part of something you helped build.

Kind Regards,

*William Holt*  
William Holt  
ALPI Board Chairperson



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# Greetings & Proclamations

  
**United States Senate**  
WASHINGTON, DC 20510-0905

BILL NELSON  
FLORIDA

January 27, 2018

Agriculture And Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, Florida 33850

Dear Friends:

Greetings and welcome! Thank you for the invitation to the 50<sup>th</sup> anniversary gala celebration for 50th Annual Corporate Meeting and Luncheon. Since its inception in 1968, the mission of the Agricultural and Labor Program has been to improve the quality of life of Florida farmworkers. You are to be applauded for your continued dedication and commitment to preserving this mission by providing much needed resources to socially and economically disadvantaged families around Florida.

Thank you for all that you do for the great state of Florida and much continued success.

Sincerely,  


  
**HOUSE OF REPRESENTATIVES**  
WASHINGTON, D. C. 20515

RECKE L. HASTINGS  
MEMBER OF CONGRESS

January 27, 2018

Ms. Deloris Johnson  
Chief Executive Officer  
The Agricultural and Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, FL 33850

Dear Ms Johnson:

I write to extend my most sincere congratulations to the Agricultural and Labor Program, Inc. (ALPI) on celebrating its 50<sup>th</sup> Annual Corporate Meeting and Luncheon. I have no doubt that this year's theme, "Acknowledging the Past....Preparing for the Future," will continue the important dialogue of how to address and support the needs of children and families' social and economic challenges.

I commend the ALPI's extraordinary commitment to providing programs and services including Employment Opportunities; Community Service Block Grants; Farmworker Emergency Assistance; Head Start/Early Head Start and School Readiness Opportunities, Child Care Food and Nutrition Services; HUD Housing Counseling; LIPHEP Services and EHEAP Services. These programs and services have had exceptional outcomes. I thank your dedicated staff and volunteers for their tremendous contributions to our community.

Once again, congratulations on this momentous anniversary! I wish you many more years of continued success. With warm personal regards, I remain,

Sincerely,  
  
Alcee L. Hastings  
Member of Congress

  
**RIK SCOTT**  
GOVERNOR

January 27, 2018

Dear Friends:

As Governor, it is my pleasure to welcome the Agricultural and Labor Program, Inc. to Orlando for your 50<sup>th</sup> Annual Corporate Meeting and Luncheon as you celebrate 50 years of community service.

The community involvement of Floridians like you is essential to the continued success of our state. Our goal is to make Florida the global destination for jobs so Floridians can continue to have great opportunities to live their dreams. Florida businesses have created nearly 1.5 million jobs since December 2010 because of our efforts to diversify our economy and cut taxes. We have made great progress in growing jobs and investing in education, and we'll keep working to fight for Florida's future.

Thank you for your dedication and service to Florida families, and you have my best wishes for a memorable and successful event.

Sincerely,  
  
Rick Scott  
Governor

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THE CAPITOL  
TALLAHASSEE, FLORIDA 32399 • (850) 717-9249

# Greetings & Proclamations

  
HOUSE OF REPRESENTATIVES  
WASHINGTON, D.C. 20515

DENNIS A. ROSS  
15TH DISTRICT OF FLORIDA

## PROCLAMATION

15<sup>th</sup> CONGRESSIONAL DISTRICT OF FLORIDA  
UNITED STATES REPRESENTATIVE DENNIS A. ROSS

TO THE ATTENDEES OF  
THE FIFTIETH ANNUAL CORPORATE MEETING AND LUNCHEON OF  
THE AGRICULTURAL AND LABOR PROGRAM, INC.

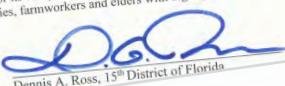
WHEREAS, The Agricultural and Labor Program, Inc. (ALPI) headquartered in Lake Alfred, Florida is an IRS certified 501(c)(3) private, nonprofit organization whose Mission is to propose, implement, and advocate developmental and human service delivery programs for the socially and economically disadvantaged; children and families; and farmworkers; in service areas including Collier, Glades, Hendry, Highlands, Martin, Polk, St. Lucie and Volusia Counties; and

WHEREAS, The underlying principles that guide ALPI activities are involvement of people; emphasis on long-term accomplishments rather than promises; assurances of economic viability; emphasis on self-help; and a sound, integrated, total systems approach over five main areas of activity, including: 1. Employment and Income; 2. Organization Development and Support; 3. Housing; 3. Community Relations and Support; 5. Health, Education, and Social Services; and

WHEREAS, In 2016-2017, the needs of children, families, and elders were addressed through programs such as Community Services Block Grant; Farmworker Emergency Assistance; Head Start/Early Head Start and School Readiness Opportunities' Child Care Food and Nutrition Services; HUD Housing Counseling; LIHEAP Services (Low Income Home Energy Assistance Program); and EHEAP Services (Elderly Home Energy Assistance Program); and

WHEREAS, The ALPI 50th Annual Corporate Meeting and Luncheon is being held Saturday, January 27, 2018, at the Rosen Centre Hotel in Orlando, Florida, celebrating 50 Years of Community Service. "Acknowledging the Past...Preparing for the Future"; now

THEREFORE, I, Dennis A. Ross, Member of the United States House of Representatives, serving Florida's Congressional District 15, do HEREBY PROCLAIM gratitude and support to the Agricultural and Labor Program, Inc., for its compassionate and well organized delivery of services to provide and empower children, families, farmworkers and elders with dignity and accomplishment.

  
Dennis A. Ross, 15<sup>th</sup> District of Florida

  
THE FLORIDA SENATE  
Tallahassee, Florida 32399-1100

COMMITTEES:  
Agriculture, Chair  
Appropriations  
Appropriations Subcommittee on Pre-K-12  
Education  
Elderly and Insurance  
Communications, Energy, and Public Utilities  
Criminal Justice  
SELECT COMMITTEE:  
Joint Select Committee on Collective Bargaining

SENATOR DENISE GRIMSLEY  
26th District

January 2, 2018

Dear Mrs. Johnson:

Congratulations on reaching a milestone in the life and work of the Agricultural and Labor Program, Incorporated. On behalf of my colleagues in the Florida Senate, I bring you greetings and warm wishes for a successful Annual Meeting and commemoration of this special program.

Fifty years of service to the community is a testament to the vision of the founders and tenacity of those who have followed in their footsteps. Countless numbers of our fellow Floridians have been served by the outreach, resources and guidance offered one person at a time. Together, you really have achieved more, served many, and delivered hope in times when it has been needed most.

Again, I wish you the very best as you convene this 50th Annual Meeting, and continue the work of touching lives.

Sincerely,  
  
Denise Grimsley  
State Senator, District 26

  
**Proclamation**

Whereas, the Agricultural and Labor Program, Inc. (ALPI) is a private non-profit community based organization that has been helping people and changing lives since 1968 and is celebrating 50 Years of Community Service providing a constant flow of community support services to help socially and economically disadvantaged children and families; and

Whereas, ALPI's purpose is to help people maintain family strength, provide avenues for financial assistance, and create economic stability; and

Whereas, during the in the 2016-2017 fiscal year, ALPI provided in partnership with twelve (12) non-profits organizations in enrolling 155 families into the family self-sufficiency program with 23 clients obtaining jobs; 10 receiving an increase in income and/or benefits; 8 completing post-secondary education; and 46 receiving skills/competencies and/or higher education or training; 10 individuals received work experience; 252 families received emergency assistance; and

Whereas, Head Start / Early Head Start services were provided to 1,012 and Voluntary Pre-kindergarten services were provided to 433 children and their families Polk and St. Lucie Counties through the ALPI; and

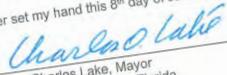
Whereas, ALPI provided a total of 360,180 meals to pre-school and school age children via the Kindergarten services were provided to 2,475 meals were provided to children aged 1-18 through the ALPI; and

Whereas, the Low Income Home Energy Assistance Program (LIHEAP) services were expanded in partnership with non-profit organizations to provide assistance to a total of 7,618 clients and Elderly Home Energy Assistance Program (EHEAP) services were provided to 247 seniors.

Whereas,  
Therefore, BE IT RESOLVED that the City of Lake Alfred formally recognize January 27, 2018 as  
"Agricultural and Labor Program, Inc. Day"

in the City of Lake Alfred, Florida and urge all citizens to recognize services needed by those less fortunate in our community, encourage everyone to support the Agricultural and Labor Program, and congratulate them in providing 50 years of service to the our community.

IN WITNESS WHEREOF, I have hereunder set my hand this 8<sup>th</sup> day of January 2018.

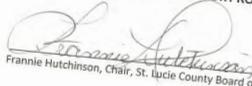
  
Charles Lake, Mayor  
City of Lake Alfred, Florida

  
**Certificate of Recognition**

- The Agricultural and Labor Program, Inc. (ALPI) is a private, non-profit community based organization chartered by the State of Florida to provide assistance and services to the migrant and seasonal farm worker population, the rural and disenfranchised throughout the State.
- ALPI is based on five underlying principles that guide all its activities: (1) Involvement of People; (2) Emphasis on long-term accomplish rather than promises; (3) Assurance of economic viability; (4) Emphasis on self-help; and (5) A sound integrated total systems approach.
- Services in the State of Florida have included but not limited to Education, employment & Training, Food and Nutrition, Health/Medical, Low Income Home Energy Assistance Program/Elderly Home Emergency Assistance Program (LIHEAP/EHEAP), Housing, Head Start, and Subsidized Child Care.
- In St. Lucie County specific services have included our involvement in the local Regional Advisory Council, LIHEAP/EHEAP, and more importantly, the services to over 11,000 Head Start children.

This year marks the 50<sup>th</sup> Anniversary of ALPI and they will be celebrating on Saturday, January 27, 2018 at the Rosen Center Hotel, 9840 International Drive, Orlando, Florida. Their theme this year is ... "Acknowledging the Past...Preparing for the Future".

St. Lucie County congratulates "AGRICULTURAL AND LABOR PROGRAM, INC." on their 50<sup>th</sup> Anniversary.

January 11, 2017  
Date  
  
Frannie Hutchinson, Chair, St. Lucie County Board of County Commissioners

# Greetings & Proclamations

## WINTER HAVEN The Chain of Lakes City

### Proclamation

In Honor of the 50<sup>th</sup> Anniversary  
of the Agricultural and Labor Program, Inc.  
"Acknowledging the Past...Preparing for the Future"

WHEREAS, The Agricultural and Labor Program, Inc. (ALPI) is a private, non-profit, community based organization chartered by the State of Florida to provide assistance and services to the migrant and seasonal farm worker population, the rural poor and disenfranchised throughout the State; and

WHEREAS, The ALPI is based on five underlying principles that guide all its activities: (1) Involvement of People; (2) Emphasis on long-term accomplishments rather than promises; (3) Assurance of economic viability; (4) Emphasis on self-help; and (5) A sound integrated total systems approach; and

WHEREAS, services have included but not limited to: CSBG, Head Start/Early Head Start; Voluntary Pre-Kindergarten; Child Care Food and Nutrition; LIHEAP; Housing Mitigation; HUD Housing Counseling; and

WHEREAS, January 27, 2018, marks the 50<sup>th</sup> Anniversary of ALPI providing a constant flow of community services to help socially and economically disadvantaged children and families; and

NOW, THEREFORE, I, Steven M. Hunnicutt, Mayor of the City of Winter Haven, Florida, do hereby declare January 27, 2018, as

### AGRICULTURAL & LABOR PROGRAM, INC. DAY

in the City of Winter Haven, Florida and urge all citizens to recognize services needed by those less fortunate in our community and encourage everyone to support the Agricultural and Labor Program, Inc.

IN WITNESS WHEREOF, I have hereunto set my hand and cause the Seal of the City of Winter Haven, Florida, to be affixed this 19<sup>th</sup> day of December, 2017.



*Steven M. Hunnicutt*  
Steven M. Hunnicutt, Mayor

## Proclamation



WHEREAS, The Agricultural and Labor Program, Inc. (ALPI) headquartered in Lake Alfred, Florida is an IRS certified 501(c)(3) private, nonprofit organization. The Agricultural and Labor Program is a direct descendent of "The Agricultural and Labor Project", established in 1968 by the Coca-Cola Company to improve the quality of life for farmworkers in their Florida citrus operations; and

WHEREAS, ALPI's focus is to provide a mechanism toward achieving and maintaining family stability and economic self-sufficiency. Through their vast resources they address the areas of: jobs and income, housing, education, social services, health, training, and community relations. They also continue to serve as a source of information and hope in the community, as a clearinghouse for community needs, and in the provision of a coordinated (mechanism) approach to the delivery of human services; and

WHEREAS, ALPI is based on five underlying principles that guide all its activities: (1) Involvement of People; (2) Emphasis on long-term accomplishments rather than promises; (3) Assurance of economic viability; (4) Emphasis on self-help; and (5) A sound integrated total systems approach; and

WHEREAS, ninety - three (93%) of the agency wide budget, of more than seventeen million dollars, was earmarked to address the needs of children and families facing social and economic challenges due to unemployment, increased utility costs, mortgage foreclosure, limited food, shelter, and affordable early childcare; and

WHEREAS, the City of Haines City appreciates and supports the Agricultural and Labor Program, Inc. in their efforts to acknowledge the past by preparing for the future.

NOW THEREFORE, I, H.L. Roy Tyler, as Mayor of the City of Haines City, do hereby support and recognize the 27<sup>th</sup> day of January, 2018 as:

### The 50<sup>th</sup> Annual ALPI Corporate Meeting and Luncheon: "Acknowledging the Past...Preparing for the Future"

in Haines City, Florida in recognition and appreciation of the services provided by this agency.

IN WITNESS WHEREOF, I have hereunto set my hand and caused the seal of the City of Haines City to be affixed this 19<sup>th</sup> day of December, 2017.

HAINES CITY, FLORIDA

## Proclamation City of Davenport, Florida

WHEREAS, The Agricultural and Labor Program, Inc. (ALPI) will host the 50<sup>th</sup> Annual Corporate Meeting and Luncheon on Saturday, January 27, 2018 in Orlando, Florida with a theme of "ALPI Celebrating 50 years of community service - Acknowledging the Past ... Preparing for the Future"; and

WHEREAS, ALPI's uses its resources to maintain children education and enrichment activities and to meet the needs of families facing social and economic challenges. Programs and services offered realize very positive outcomes; and

WHEREAS, CSBG/ARRA enrolled 155 families into a family self-sufficiency program with 23 clients obtaining jobs; 10 receiving an increase in income and/or benefits; 8 completing post-secondary education; and 46 receiving skills/competencies and/or higher education or training. Additionally 10 adults were provided with work experience; and

WHEREAS, Farmworker Emergency Assistance was provided in partnership with twenty-nine (29) non-profit organizations to 370 farmworkers (via Collier, Dade, Hardee, Highlands, Hillsborough, Manatee, Orange, Pasco, Palm Beach, Polk, Putnam, St. Lucie, Seminole and Volusia Counties); and

WHEREAS, Head Start/Early Head Start services were provided to 1012 children and their families in St. Lucie and Polk Counties; voluntary pre-kindergarten services were provided to 433 children and their families in St. Lucie and Polk Counties; a total of 360,180 meals were provided to pre-school and school age children via the Child Care Food and Nutrition Program; and

WHEREAS, Housing Counseling or Foreclosure Mitigation was provided to 37 families in Polk and Osceola Counties; and LIHEAP services were expanded in partnership with 9 non-profit organizations to provide assistance to a total of 7,618 clients.

WHEREAS, Full-time and part-time employment opportunities were maintained to 214 employees in Glades, Highlands, Polk, St. Lucie, and Volusia Counties.

NOW, THEREFORE, The City Commission of the City of Davenport, Florida does hereby proclaim January 27, 2018 as

### Agricultural and Labor Program, Inc Day

in the City of Davenport, and welcomes the attendees of the 50<sup>th</sup> Annual Corporate Meeting.

PASSED AND DULY ADOPTED in regular session this 2<sup>nd</sup> day of January, 2018.

CITY OF DAVENPORT, FLORIDA

*H.B. Robinson III*  
H.B. Robinson III, Vice-Mayor

ATTEST:

*Raquel Castillo*  
Raquel Castillo, City Clerk

*Andrew J. Hand*  
APPROVED AS TO FORM AND CONTENT:  
Andrew J. Hand, City Attorney



## SCHOOL BOARD OF POLK COUNTY

P.O. BOX 591  
BARTOW, FLORIDA 33851

(863) 534-0500

1915 SOUTH FLORAL AVENUE  
BARTOW, FLORIDA 33850

Dec. 20, 2017

- Board Member  
BOARD CHAIR  
LYNN WILSON  
DISTRICT 1
- BILLY TOWNSEND  
DISTRICT 2
- LOUIE CUNNINGHAM  
DISTRICT 3
- HAZEL GILBERT  
DISTRICT 4
- SARA BETH BISHOP  
DISTRICT 5
- RAY FREED  
DISTRICT 6
- TIM HARRIS  
DISTRICT 7
- Y. BRIDGEMAN  
County Clerk
- BYRON

Greetings!

On behalf of Polk County Public Schools, it is my pleasure to welcome you to the Agricultural and Labor Program Inc.'s 50<sup>th</sup> Annual Corporate Meeting and Luncheon.

For half a century, ALPI has served the needs of children and families facing social and economic challenges due to unemployment, increased utility costs, mortgage foreclosures, and limited access to food, shelter and affordable child care. In 2016-17 alone, 93 percent of the agency's nearly \$18 million budget was earmarked for helping children and families overcome economic hardship.

Many recipients of ALPI's aid live in Polk County and attend Polk County Public Schools. For countless individuals and families, ALPI has provided shelter, sustenance, and most important of all, the ability to rise above today's circumstances and strive for brighter tomorrows. How appropriate that this year's event is themed "Acknowledging the Past... Preparing for the Future."

We applaud ALPI for the life-transforming difference it has made in the last 50 years, and we look forward to the work yet to come.

Thank you for attending the 50<sup>th</sup> Annual Corporate Meeting and Luncheon and for your support of ALPI.

Best wishes,  
*Guinele M. Byrd*

Guinele M. Byrd  
Superintendent of Schools

Polk County Public Schools is to provide a high quality education for all students.

# Greetings & Proclamations



December 18, 2017

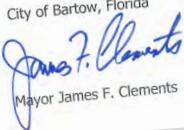
Ms. Deloris Johnson  
Chief Executive Officer  
The Agricultural and Labor Program, Inc.  
300 Lynchburg Road

Dear Ms. Johnson:

On behalf of the City of Bartow, it is my pleasure to acknowledge the 50 years of service provided by the Agricultural and Labor Program, Inc. to the most vulnerable of our county's citizens ... migrant farmworkers and low income citizens.

The services you provide, in "helping people to help themselves", and your dedication to the citizens of the Bartow community is greatly appreciated.

Congratulations to you on the many achievements of the Agricultural and Labor Program, Inc. and best wishes for a successful 2018 Annual Meeting and Luncheon!

City of Bartow, Florida  
  
Mayor James F. Clements



R. HOWARD WIGGS  
MAYOR

January 27, 2018

Deloris Johnson, Chief Executive Officer  
The Agricultural and Labor Program, Inc.  
Post Office Box 3126  
Winter Haven, Florida 33885

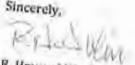
Dear Ms. Johnson:

As Mayor of the City of Lakeland, and on behalf of my colleagues on the City Commission, I would like to affirm our support of the mission and guiding principles of the Agricultural and Labor Program, Inc.

The City of Lakeland believes ALPI is an integral component to improving the quality of life for the children and families of our community. Your advocacy for ways to continuously improve, while engaging the broader community to assist you in your efforts.

Congratulations to you on the many achievements of ALPI and best wishes for a successful 2018 Annual Meeting!

Best wishes to you all.

Sincerely,  
  
R. Howard Wiggs  
Mayor



City of Port St. Lucie  
"A City for All Ages"

December 18, 2017

Deloris Johnson  
Chief Executive Officer  
Agricultural and Labor Program, Inc.  
300 Lynchburg Road  
Lake Alfred, Florida 33850

Dear Ms. Johnson,

On behalf of the City Council and the City of Port St. Lucie, it is my pleasure to extend our kindest salutations to you, the Board and all attendees of the 50th Annual Corporate Meeting and Luncheon.

As you know, a 50<sup>th</sup> anniversary is a momentous occasion often commemorated with gold, which seems especially fitting for ALPI given that could easily be considered a gold standard in living by and teaching the Gold Rule.

The City is deeply appreciative of ALPI's hard work and investment in our community and remains its steadfast partner in helping people and children live for the better.

We look forward to your continuing success and making a difference in the next 50 years and beyond.

Very truly yours,  
  
Gregory J. Oravec  
Mayor

c: Vice Mayor & City Council  
City Manager



7000 N.W. Selwitz Road • Fort St. Lucie, FL 34983  
772.429.3600 • www.stlucieschools.org

Board Members  
Dr. Donna Mills, Chairman  
Debbie Hawley, Vice Chairman  
Kathryn Hershey  
Carol A. Hilton  
Troy Ingersoll  
Superintendent  
E. Wayne Gent

January 4, 2018

The Agricultural and Labor Program, Inc.  
Attn: Deloris Johnson, Chief Executive Officer  
P. O. Box 3126  
Winter Haven, FL 33885

Dear Ms. Johnson:

Congratulations on your 50<sup>th</sup> Annual Corporate Meeting and Luncheon and 50 years of community service. The School Board of St. Lucie County recognizes and commends the Agricultural and Labor Program, Inc. for its endeavor to support and sustain the needs of children and families facing social and economic challenges over the last 50 years. We support your mission to provide resources, information and hope in the area of education, health, jobs, housing and community relations, and wish you continued success.

Sincerely,  
  
Donna Mills, Ph.D.  
Chairman

District-wide System Accreditation by AdvanceED  
The School Board of St. Lucie County is an Equal Opportunity Agency

# Greetings & Proclamations



January 27, 2018

Deloris Johnson, CEO  
Agricultural and Labor Program, Inc.  
2202 Avenue Q  
Fort Pierce, FL 34950

Dear Ms. Johnson:

Congratulations on ALPI's 50<sup>th</sup> Annual Corporate Meeting & Luncheon! I am disappointed I am unable to attend and celebrate this achievement with you.

The City of Fort Pierce has undergone many changes in our long history. Many of the positive changes were due to the contributions of ALPI which involved themselves and continue to address the needs of children and families facing economic challenges, child care and nutrition services amongst so many other benefits so these families may live the best possible lives despite their circumstances. ALPI has also provided many years of successful Head Start programs in our community helping people and changing lives.

We look forward to your group's continued involvement and being able to celebrate ALPI's successes year after year. On behalf of the City of Fort Pierce and as Mayor, we wish to thank you for the contributions to our citizens and those of St. Lucie County.

Sincerely,  
  
Linda Hudson  
Mayor



**HENDRY COUNTY**  
Board of County Commissioners  
P.O. Box 2340  
LaBelle, Florida 33975-2340

Charles T. Chapman IV  
County Administrator

Mark F. Lapp  
County Attorney

Barbara Butler  
Clerk of the Courts

January 4, 2018

The Agriculture and Labor Program, Inc.  
PO Box 3126  
Winter Haven, FL. 33885

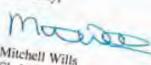
Re: 50<sup>th</sup> Annual Corporate Meeting & Luncheon

To Whom It May Concern:

Hendry County would like to congratulate The Agriculture and Labor Program Inc., ALPI, for all of its accomplishments during the 50<sup>th</sup> Anniversary celebration.

The Board of Commissioners would like to express their sincerest gratitude to ALPI for the programs and services offered to the residents of Hendry County. In 2017, ALPI provided Low Income Home Energy assistance to our residents as well as provided opportunities for employment through its Community Services Block Grant.

On behalf of the Hendry County Board of County Commissioners, I would like to thank the ALPI organization for its contributions to our county.

Sincerely,  
  
Mitchell Wills  
Chairman of the Board  
Hendry County Board of County Commissioners

**PROCLAMATION**  
City of Auburndale  
State of Florida

**IN HONOR OF THE 50<sup>th</sup> ANNIVERSARY OF  
THE AGRICULTURAL AND LABOR PROGRAM, INC.**

**WHEREAS**, The Agricultural and Labor Program, Inc. (ALPI) is a private, non-profit, community based organization that has been helping people and changing lives since 1968;

**WHEREAS**, The ALPI utilizes various funding sources to maintain utility costs, etc.;

**WHEREAS**, The ALPI provides Head Start/Early Head Start and Child Development Services to over a thousand families annually in partnership with city and county government, public schools, the United Way, and Early Learning Coalitions;

**WHEREAS**, The ALPI provided Community and Family Support Services to 8,079 clients through Farm worker Emergency Assistance, Child Care Food and Nutrition Services, Housing Counseling, Low Income Home Energy Assistance, and Elderly Home Energy Assistance; and

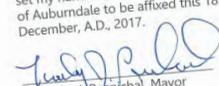
**WHEREAS**, 2018 will commemorate 50 (fifty) years of providing a constant flow of community support services from the Agricultural and Labor Program Inc. that provide a mechanism toward helping socially and economically disadvantaged children and families achieve and maintain family stability and economic self-sufficiency.

**NOW, THEREFORE**, I Timothy J. Pospichal by virtue of the authority vested in me as Mayor, do hereby proclaim January 27, 2018 as:

**THE AGRICULTURAL AND LABOR PROGRAM, INC. 50<sup>th</sup> ANNIVERSARY DAY**

in Auburndale, Florida in recognition and appreciation of the services provided by this agency.

IN WITNESS WHEREOF, I have hereunto set my hand and caused the Seal of the City of Auburndale to be affixed this 18th day of December, A.D., 2017.

  
  
Timothy J. Pospichal, Mayor

**Proclamation**

**WHEREAS**, the mission of The Agricultural and Labor Program, Inc. (ALPI), is to propose, implement and advocate developmental and human service delivery programs for the socially and economically disadvantaged, children and families and farm workers; and

**WHEREAS**, 93 percent of ALPI's 2016-2017 agency-wide budget of \$17,820,362 was used to address the needs of children and families facing social and economic challenges due to unemployment, increased utility costs, mortgage foreclosure and limited food, shelter and affordable early child care. ALPI programs consist of Employment Opportunities, Community Services Block Grants, Farmworkers Emergency Assistance, Head Start/Early Head Start, School Readiness Opportunities, Child Care Food & Nutrition Services, HUD Housing Counseling, Low Income Home Energy Assistance-LIHEAP and Elderly Home Energy Assistance-EHEAP; and,

**WHEREAS**, the Agricultural and Labor Program, Inc. is celebrating the 50th Annual Corporate Meeting and Luncheon on Saturday, January 27, 2018, with the theme "ALPI Celebrating 50 Years of Community Service "Acknowledging the Past...Preparing for the Future."

Therefore, JANUARY 2018 is hereby proclaimed:

"the 50th Anniversary of Agricultural and Labor Program, Inc."

*Polk County Board of County Commissioners*  
December 19, 2017

# Special Thanks

## 2017 Board of Directors



Back Row (l-r): Kimberly Ross, Chester McNorton, LaVita Holmes Middle Row (l-r): Josephine Howard, David Walker, Esq., Stacy Campbell-Domineck, Patricia Gamble, Vernon McQueen Front Row (l-r): Ruby Willix, William Holt, Katie Clarke, Corey Williams, Marjorie Gaskin, Marva Hawkins  
Board Members Not Pictured: Dorothy Curry, Glenda Jones, Kim Johnson, Lester Roberts, Annie Robinson, Samuel Thomas

**William Holt, Board Chairperson**  
*Low Income Sector Designee*  
Eastern Region Advisory Council - Chairperson

**David Walker, Board Vice-Chairperson**  
*Private Sector Designee*  
Law Office of David Walker, Esq.

**Josephine Howard, Board Secretary**  
*Public Sector Designee for*  
Mayor Roy Tyler - City of Haines City

**Marjorie Gaskin, Board Treasurer**  
*Public Sector Designee for*  
Commissioner Rufus Alexander City of Ft. Pierce

**Katie Clarke, Board Member**  
*Private Sector Designee*  
Lakeview Park Homeowner Association, Pres.

**Dorothy Curry, Board Member**  
*Public Sector Designee for*  
Commissioner Velma Williams - City of Sanford

**Stacy Campbell-Domineck**  
*Private Sector Designee*  
CareerSource Polk - Chief Executive Officer

**Patricia Gamble, Board Member**  
*Private Sector Designee*  
FL Department of Revenue - Tax Specialist I

**Marva Hawkins, Board Member**  
*Low Income Sector Designee*  
Northern Region Advisory Council Member

**LaVita Holmes, Board Member**  
*Low Income Sector Designee*  
Southern Region Advisory Council Member

**Kim Johnson, Board Member**  
*Public Sector Designee*  
Commissioner - St. Lucie County BoCC

**Glenda Jones, Board Member**  
*Private Sector Designee*  
Winter Haven Neighborhood Service Ctr. -  
Executive Director

**Chester McNorton, Board Member**  
*Low Income Sector Designee*  
ATEC Advisory Council Member

**Vernon McQueen, Board Member**  
*Private Sector Designee*  
Progress Energy Florida - Senior DMS Specialist

**Lester Roberts, Board Member**  
*Public Sector Designee for*  
Deputy Mayor Brenda Gray -  
City of Avon Park

**Annie Robinson, Board Member**  
*Low Income Sector Designee*  
Southern Region Advisory Council Member

**Kimberly Ross, Board Member**  
*Public Sector Designee for*  
Commissioner Janet Taylor -  
Hendry County BoCC

**Samuel Thomas, Board Member**  
*Citizen Designee*  
Glades County Board of County  
Commissioners

**Corey Williams, Board Member**  
*HS/EHS Policy Council Designee*  
Head Start/Early Head Start Policy Council

**Ruby Willix, Board Member**  
*Low Income Sector Designee*  
Central Region Advisory Council Member

*Jonathan Thiele, Esq. - Board Counsel*  
*Grace Miller - Board Member Emeritus*

# ANNUAL CORPORATE MEMBERSHIP BUSINESS MEETING

## AGENDA

**Saturday, January 27, 2018**

***11:15 a.m. - 12:00 p.m.***

|                                                         |                                   |
|---------------------------------------------------------|-----------------------------------|
| Call to Order                                           | William Holt, Board Chairperson   |
| Words of Inspiration                                    | Patricia Gamble, Board Member     |
| Acknowledgements<br>Regional Advisory/Policy Council    | Ruby Willix, Board Member         |
| Adoption of Minutes                                     | Josephine Howard, Board Secretary |
| Annual Financial Report                                 | Marjorie Gaskin, Board Treasurer  |
| 2017 Annual Report                                      | William Holt, Board Chairperson   |
| New Business<br>Introduction of 2018 Board of Directors | Deloris Johnson, CEO              |
| Adjournment                                             | William Holt, Board Chairperson   |

# ACCOMPLISHMENTS & OPPORTUNITIES

During the 2016-2017 program year, The Agricultural and Labor Program, Inc. (ALPI) continued to work in partnership with communities in a coordinated and comprehensive manner to develop programs and deliver services that will make a critical difference in the lives of people in need. ALPI, like many community action agencies, is grounded in helping families and communities build this social capital for movement to self-sufficiency. Our focus areas and accomplishments included the following coordinated and comprehensive partnership and the ALPI program services delivery accomplishments.

## COORDINATED & COMPREHENSIVE PARTNERSHIPS

### ALPI Frostproof Child Development Center



Frostproof Child Development Center's Early Head Start Program held its annual "Parent Orientation" for the 2016-2017 school year on July 30, 2016. Parent Orientation welcomes new parents and returning parents into the program by providing the history of ALPI and an overview of EHS program policies, procedures,

program governance, center activities and family engagement. In addition, parents had an opportunity to meet some local partners like the Polk County Sheriff's office (provided car seat training), Healthy Families & Healthy Start (provided health & nutritional information), CareerSource Polk (assisted with resume writing and employment searches via their Mobile Unit), and Central Florida Health Care (provided dental screenings). The event was well attended and parents are very excited about the upcoming school year!



## ALPI

### C.A.T. PROGRAM EXPANSION & FOOD PROGRAM PARTNERSHIP

Recently, ALPI's C.A.T. Program was selected from many applicants as the recipient of special funding for EXPANSION of its 2016 Summer Program. Thanks to generous funding by the Children's Services Council of St. Lucie County, an additional **40 children** were able to attend the 2016 C.A.T. Summer Program!

During the same period, a partnership with the Treasure Coast Food Bank also allowed for a Summer Feeding Program Site to be setup at the C.A.T. Program location.

# ACCOMPLISHMENTS & OPPORTUNITIES

## COORDINATED & COMPREHENSIVE PARTNERSHIPS

### ALPI PARTNERS WITH RIDGE TECHNICAL COLLEGE

**ALPI'S CSBG FAMILY SELF-SUFFICIENCY PROGRAM** representatives attend an annual Open House at Ridge Technical College. Ridge Technical College offers professional training and certification in some of the fastest growing careers in the nation, with more than 20 available pathways. The college provides students with practical educational experience that is currently in high demand. The relevant and skill-based training offered is an alternative to the traditional college experience, but yet still provides direct access to the American dream.

At the Open House, ALPI representatives provide detailed information about the Family Self-Sufficiency Program (FSSP), as well as all other ALPI programs. Any questions regarding any of the programs are answered and interested clients are given a number to call to set up an appointment to attend an orientation or seek other services, as the case may be. At the orientation, the FSSP is discussed in great detail and those interested in applying to the program may do so after completing the orientation.

Under the FSSP, an eligible client is provided services through ongoing case management with the ultimate outcome being the enhancement of a family's ability to meet their own basic needs. Participation in the FSSP is based on the family's income level as well as the availability of Case Manager slots. The client is assigned a Case Manager for the duration of his/her participation in the FSSP. The Case Manager completes an initial assessment with the client and develops a case plan to determine appropriate activities/goals for the client and his/her family. Such activities/goals may include assisting the client and his/her family in: securing and retaining meaningful employment, obtaining adequate



Sheila Armstead, ALPI Client Services Specialist II (case manager) and ALPI Family Self-Sufficiency Program client, Mimi Lee, who is currently enrolled in the Ridge Technical College LPN Program.

education, developing and following a budget, linking to appropriate community resources, pursuing job training and much more.

The Case Manager continues to work with the client in providing support, on an on-going basis, via telephone and office visits, to assist with completion of the case plan and attainment of self-sufficiency. The FSSP is unique to each client and may range from a few months to a year or more, with an average participation period of six months. The length and scope of the FSSP primarily depends upon the client's needs and is completely customized to their unique situation.

### ALPI CAT PROGRAM

## Featured in Radio Interview

On July 20, 2016 The Children Services Council of St. Lucie County hosted a radio show interview with students enrolled in the ALPI Computer Assisted Tutorial (CAT) Program. This was a very exciting moment for the students and for the program. Students were able to speak about the impact the program has made in their lives and the different activities they have experienced. They also had a parent participate in the radio interview. Through a partnership with local radio station 104.5 The Flame, the Children's Services Council presents a weekly radio show called Community Connections. Executive Director, Sean Boyle and Communications Coordinator, Ashley Mock host the show each Sunday morning at 10am. The goal of the show is to connect children and families to resources that they may not know are available to them in our community.

Sean Boyle Executive Director  
and Ashley Mock Communications  
Coordinator conducted the interview.

Students, parent and staff included:  
Da'nijah Mike Student  
Roscoe Minnis, Jr Student  
Antonio Smith Student  
Tiffany Minnis Parent  
Kevin Singletary  
ALPI Program Coordinator



# ACCOMPLISHMENTS & OPPORTUNITIES

## COORDINATED & COMPREHENSIVE PARTNERSHIPS

### PNC Grow Up Great & ALPI

#### *Inspiring Great Futures Together*

ALPI and PNC Grow Up Great have begun a new partnership! PNC recognizes that learning in a child's early years is essential for their long-term success. Since PNC began the program in 2004, PNC Grow Up Great has distributed more than \$105 million in grants that help young children prepare for school by focusing on readiness in vocabulary development, math, science, financial education and the arts. Through these grants to nonprofit organizations, the program has impacted approximately 2.3 million children throughout 19 states and the District of Columbia.



Grow Up Great initiatives strengthen programming at early education centers serving at-risk children by providing professional development for teachers, enhancing children's classroom experience and further engaging parents in their children's learning. These efforts are supported by strong, long-term cross-sector collaborations with national and local organizations, including Sesame Workshop, the Fred Rogers Company, and National Head Start Association, as well as a multi-disciplinary Advisory Council of highly respected early education experts.

There are various programs within PNC Grow Up Great, including: **PNC's Grants for Great Hours** | this program allows individual employees and teams of employees to earn grant dollars for qualified early education centers. Cumulatively, through 2015, Grow Up Great volunteers

have earned more than 1,425 individual and team PNC Foundation grants totaling close to \$4.7 million. **The Mobile Learning Adventure** | a traveling exhibit that provides an opportunity for parents and caregivers to learn about the importance of early childhood education while having fun with their children. **Growing Up Great Together Under One Big Sky Mobile Planetarium** | features an inflatable dome where children view One World, One Sky: Big Bird's Adventure, a show created by Sesame Workshop to introduce astronomy to young viewers. The portable dome travels to early childhood education centers that are approved Grow Up Great volunteer sites. It provides children the opportunity to experience a planetarium show firsthand.



# ACCOMPLISHMENTS & OPPORTUNITIES

## VISION & DIRECTION

Community Action leadership is exemplified at all levels across the ALPI organization and starts with a mission that clarifies ALPI's work to address the needs of socially and economically disadvantaged children, families and farmworkers. The organization's well-functioning board, and a focused chief executive officer (CEO), well-trained and dedicated staff, and volunteers giving of themselves to help others, continues to serve as the organization's cornerstone and leverage point to address poverty across many communities in the state of Florida. Ensuring strong leadership both for today and into the future. During the 2016-2017 the Board Leadership and overall performance of engagement activities included the following:

### SHARED GOVERNANCE ORIENTATION

The 2017 Shared Governance Orientation was held at the Chain O'Lakes Complex in Winter Haven, Florida on February 25, 2017. The purpose of the Shared Governance Orientation is to provide newly elected and experience Board members, Head Start/EHS Policy Council Members and Regional Advisory Council Members with an overview of the agency's governance practices and regulatory requirements.

Shared Governance Orientation is critical to getting organization-wide buy-in to the agency's mission, values, organizational identity and strategic plans. It helps improve communication and participation, and it empowers new members with the tools they need to promote the agency's planned agenda and programs in the community.

The Shared Governance Orientation session is the first step to ensure that board members, Head Start/EHS Policy Council Members, and Regional Advisory Council Members are active, engaged, educated, and ready to participate in the shared governance of the organization.



### CEO's CORNER

### Successful Governance and Leadership

What is governance and leadership? Governance is the process of providing strategic leadership to a nonprofit organization. It entails the functions of setting direction, making policy and strategy decisions, overseeing and monitoring organizational performance, and ensuring overall accountability. Exemplary governance and leadership development is driven by a strong and engaged Board of Directors. Dedication and many volunteer hours is the key to the realization of positive outcomes to ensure ongoing compliance with programmatic and regulatory mandates in a timely manner. The concepts of **leadership and governance** encompass strategic directions, plans and policies, effective oversight, motivation, and partnerships that integrate all organizational management and support systems to achieve results.

Every year the ALPI Board of Directors convenes its Management Planning Retreat to review the ALPI organization's Strategic Plan in order to maintain a viable "road map" for the future direction of the organization and to develop and revise strategies to accomplish the plan's identified goals. The ALPI management, in conjunction with the ALPI Board of Directors, continues to jointly plan and implement activities that allow for ongoing progress toward accomplishing each goal. Subsequently, the challenges, opportunities, and accomplishments are shared in our corporate meeting to ensure that the "Embracing Change ... Empowering People" wheel continues to move forward to *help people help themselves and each other*.

On behalf of the ALPI Board of Directors, under the leadership of Mr. William Holt, Board Chairperson, it is with great pride that I share with you in this newsletter edition, a snap shot of the ALPI program accomplishments and annual meeting. My sincere "Thanks" to all ALPI Stakeholders for your continued support and involvement in our ongoing efforts.

Deloris Johnson  
Chief Executive Officer & Editor

The Agricultural and Labor Program, Inc.  
Empowering People. Changing Lives.

**community Action**  
PARTNERSHIP  
AMERICAN PEOPLE'S MOVING NETWORK

**2016 BOARD OF DIRECTORS & MANAGEMENT**  
Annual Planning Retreat

|                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                       |
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| <p><b>GROUP I</b></p> <p>Vernon McQueen,<br/>GROUP FACILITATOR</p> <p>Kate Clarke<br/>Chester McHorton<br/>Kimberly Ross<br/>Gene Spivey<br/>Corey Williams</p> <p><b>STAFF LIAISONS</b></p> <p>Al Miller<br/>Myrna Rodriguez<br/>Aletta Stroder<br/>Twila Smith</p> <p>CEO: Deloris Johnson<br/>Board Chair: William Holt</p> | <p><b>GROUP II</b></p> <p>William Holt,<br/>GROUP FACILITATOR</p> <p>Josephine Howard<br/>David Walker<br/>Marjorie Gaskin<br/>Lafita Holmes<br/>Stacy Campbell-Dominick<br/>Lester Roberts<br/>Kim Johnson<br/>Nijona Patterson<br/>Constance Griffin</p> <p><b>STAFF LIAISONS</b></p> <p>Dennis Gniwewek<br/>Christine Samuel<br/>Twila Smith</p> <p>CEO: Deloris Johnson</p> | <p><b>GROUP III</b></p> <p>Marva Hawkins<br/>GROUP FACILITATOR</p> <p>Terry Wellington<br/>Dorothy Curry<br/>Patricia Gamble<br/>Glenda Jones<br/>Ruby Wilkx<br/>Annie Robinson<br/>Shelda Boston<br/>Tychus Doe</p> <p><b>STAFF LIAISONS</b></p> <p>Elizabeth Young<br/>Cheryl Burnham<br/>PelHous Lee-Yang<br/>Twila Smith</p> <p>CEO: Deloris Johnson<br/>Board Chair: William</p> |
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November 18 - 20, 2016  
Doubletree By Hilton - Downtown • Orlando, FL

# ACCOMPLISHMENTS & OPPORTUNITIES

## VISION & DIRECTION



**TOP ROW (l-r):** Kimberly Ross, Josephine Howard (Secretary), Chester McNorton, LaVita Holmes, David Walker, Esq. (Vice Chairperson), Stacy Campbell-Domineck, Patricia Gamble, Vernon McQueen

**BOTTOM ROW (l-r):** Ruby Willix, William Holt (Chairperson), Katie Clarke, Corey Williams, Marjorie Gaskin, Marva Hawkins

**NOT PICTURED:** Dorothy Curry, Glenda Jones, Kim Johnson, Lester Roberts, Annie Robinson, Samuel Thomas

### Board Major Accomplishments

- Updated 5 Years Strategic Plan Performance Report.
- Approved final “Wall of Fame” Implementation Plan and Timelines.
- Conducted annual Board and Management Planning Retreat.
- Maintained 100% compliance with board meeting schedule and attendance in according with by-laws and funding regulatory requirements.
- Secured Succession Plan Consultant Agreement to begin search for CEO replacement.
- Reviewed and approved policies and procedure revisions/updates.
- Completed CEO Annual Performance Evaluation.
- Secured Independent Auditor to complete the organization’s annual audit in accordance funding source regulatory requirement time lines.
- Reviewed and approved the organization Annual Operating Budget for 2016-2017.
- Board Members contributed and/or secured over \$46,000.00 in non-restricted to support agency community relations activities.

# ACCOMPLISHMENTS & OPPORTUNITIES

## VISION & DIRECTION

### ANNUAL CORPORATE MEETING AND LUNCHEON

*Embracing Change, Empowering People.*



ALPI's 2017 Annual Corporate Meeting and Luncheon was held on Saturday, January 21, 2017, at the Rosen Centre Hotel in Orlando, Florida. This year's meeting marked 49 years of the Agricultural and Labor Program, Inc. providing services to socially and economically disadvantaged children and families throughout the State of Florida. Over 400 Corporate partners, Board members, and guests attended ALPI's largest annual event.

The theme for this year's event was: *"Embracing Change, Empowering People."* Mistress of Ceremonies for this year's luncheon was LaVita Holmes, Clewiston, Florida (ALPI Board Member), *pictured above.*

This year's Guest Speaker, Robert Lemon (pictured below), is a noted author, motivational speaker and consultant. He is committed to helping people and companies accomplish their goals and maximize their potential. His presentation was incredibly dynamic and inspirational. Dr. Lemon shared his personal life story of growing up very poor, struggling against all odds, and overcoming great challenges to achieve his own personal level of success. He said, "We must challenge our limits. Average is over. We must go from beyond training our employees to educating our employees. Go beyond transaction to transformation. Organizations must go beyond average and reveal to employees who we are and what we do. We must elevate our employees and focus on changing believes."



# ACCOMPLISHMENTS & OPPORTUNITIES

## MAXIMUM FEASIBLE PARTICIPATION

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. Evidence to confirm ALPI's Maximum Feasible Participation accomplishments realized during the 2016-2017 program year included the following:

### ALPI REGIONAL ADVISORY COUNCILS

#### SOUTHERN REGION

The past year started with the Southern Region Advisory Council's annual meeting held in Frostproof, Florida on October 19, 2015. The Advisory Council also participated in the following Agency sponsored activities: Annual Board of Directors Planning Retreat in Orlando, FL, Annual Corporate Meeting and Luncheon in Orlando, FL, recognition of Robert Saffold as the recipient for the 2016 Community Service Award, Shared Governance Orientation in Winter Haven, FL, Annual Family Picnic in Clewiston, FL, bi-monthly Southern Region Advisory Council meetings held in March, May and August, designated special events, and bi-monthly Board of Directors meetings in April, June and September of 2016.

Services provided in the council's service areas of Frostproof, Avon Park, Sebring, Lake Placid, Lake Wales, Fort Meade, Wauchula, Clewiston, LaBelle, Moore Haven, Naples and Immokalee were as follows:

- Low Income Home Energy Assistance Program (LIHEAP) served 2,638 low-income families and direct assistance payments were \$985,010.58
- Community Service Block Grant (CSBG) served 431 low-income families and direct payments were \$70,123.98.
- The Emergency Assistance Program provided services to 169 farmworker families in the areas of home energy and/or rental assistance and direct assistance payments were \$26,018.41

In 2016 three ENERGY FAIR EVENTS were held in the Southern Region Advisory Council's service areas, specifically the "B" Street Community Center in Lake Wales, the Boys and Girls Club in Sebring and the Lake View Park Community Center in Frostproof. The support of the Southern Region Advisory Council was invaluable in making sure that all those in need received the assistance they needed.



The Frostproof Child Development Center provided Early Head Start services to 56 children and their families. The Jumpstart Development Center (Lake Wales) provided Early Head Start Services to 20 children and their families. The Summer Food Service Program was held at the Lakeview Park Community Center in Frostproof, FL where 2,625 meals (breakfast and lunch) were served from June 15, 2016 through July 29, 2016. Summer jobs were also coordinated with the CSBG Program for three youth to assist with the Summer Food Service Program.

Ja'Quez Pugh. Ms. Smith is from LaBelle, FL and is attending Florida Southwestern State College, after which she plans to transfer to FAMU in Tallahassee, FL. Mr. Ja'Quez Pugh is from Clewiston, FL and is attending Full Sail University in Winter Park, FL. Both scholarship recipients received \$500.00.



The Southern Region Advisory Council is proud to announce the first recipients of the Seigler, Sims & Wade Scholarship. They are: Ms. Destiny Smith and Mr.

### ALPI REGIONAL ADVISORY COUNCILS

#### EASTERN REGION

The Eastern Region Advisory Council hosted its annual meeting and Arie Lou Perkins Scholarship luncheon on October 15, 2016 at ALPI's Queen Townsend Training Center in Ft. Pierce, FL. The theme was "ALPI ... Paving The Way In Unity". Mistress of Ceremony for the event was Mercadez Estime-Connelly, council member. The keynote speaker was Dr. Donna Mills, St. Lucie County School Board. Dr. Mills inspired the parents to be their child's first teacher. Ms. Khalia Brevett, Head Start parent, shared her amazing story with all those in attendance. All six of ALPI's Head Start centers in St. Lucie County participated in the program. The highlight of this annual meeting is the presentation



of scholarships to deserving students in the community. This year, Marjorie Gaskin (scholarship chair) and her committee did an outstanding job with their fundraising activities to ensure sufficient monies to grant three \$500 scholarships.

The scholarships were awarded to: Tyler Gather, Jane Clement and Nederia Davis.

Each advisory member received a plaque for their volunteer service. Mrs. Marjorie Gaskin was also awarded a certificate of appreciation for her exemplary dedication and untiring efforts. The meeting was very well at-

tended by parents, staff, corporate and community members. There were many successful accomplishments and activities over the past year, including: raising \$1,500.00 for three Arie Lou Perkins scholarships, awarding three scholarships in St. Lucie county, processing six new corporate applications, meeting all required timelines, conducting fundraisers, assisting with a 2-day LIHEAP Energy fair in St. Lucie county, planned and attended annual corporate meeting and luncheon, attended the Board of Director's Planning Retreat, attended Shared Governance Orientation and other local, state and national events on behalf of ALPI.



# ACCOMPLISHMENTS & OPPORTUNITIES

## MAXIMUM FEASIBLE PARTICIPATION

### ALPI REGIONAL ADVISORY COUNCILS

#### CENTRAL REGION

Continuing the long-standing tradition of commitment to community service, the Central Region Advisory Council participated in many agency sponsored activities, including: Annual Planning Retreat, Annual Corporate Meeting and Luncheon, Shared Governance Orientation, Annual Staff Appreciation Luncheon, and much more. Council members also participated in ongoing voter registration activities, as well as LIHEAP energy fairs in both Bartow, FL and Winter Haven, FL.

The annual meeting was held on October 4, 2016 and included a program and business meeting. Keynote speaker was Shawn Kinsey of Winter Haven, FL. This year's theme was "Building Unity in Our Community". The meeting was very well



attended by corporate, staff and community members. Each council member was presented with a volunteer service plaque for their untiring support and service during the program year.

The ALPI Central Region Advisory Council created the Arabell Wiggins Scholarship to be presented each year to an eligible central region high school graduate. The purpose of the scholarship

is to provide an opportunity for the scholarship recipient to take advantage of post-education options to improve their chances of getting a good job and ultimately to secure and maintain self-sufficiency. Ms. Arabell Wiggins was an ALPI pioneer and a retired farmworker who actually walked the orange groves talking to migrant workers encouraging them to come to meetings in order to create a better way of life for them and their families. Ms. Wiggins served as the chairperson of the Central Region Advisory Council and on the Board of Directors for many years, becoming Board Emeritus. This year, the Central Region Advisory Council proudly presented its annual Arabell Wiggins Scholarship Award in the amount of \$500 to Rodvion Alnord.



#### NORTHERN REGION

During the past year, the Northern Region Advisory Council continued to be dedicated and committed to the Agricultural and Labor Program's Mission: To propose, implement and advocate developmental and human services delivery programs for socially and economically disadvantaged children and families as well as farm workers.

The council joined ALPI's three other advisory councils, Head Start Policy Council and ATEC council for the Annual Board of Director's Program Governance Orientation. The governance orientation was held in Winter Haven, Florida at the Chain O' Lakes Complex on February 27, 2016.

The orientation emphasized compliance with the organization's mission and out-

lined the function of the advisory councils as well as the overall governance related function of the organization. Emphasis was placed on standard meeting dates and terms and function of the advisory councils.

As a result of the orientation, the Northern Region Advisory Council and the ATEC council were charged with developing the merger of the councils together to form one Northern Region Advisory Council. As a result of the merger of the two councils, during their first meeting, the combined council began to focus on location of the meeting facility, reclaim past council members, and focus on "making the difference in our communities."

The council's volunteer hours in the community include working with youth

inmates, volunteering in public schools, federal government initiatives with the Office of Elections as poll workers and greeters, volunteering in hospitals and assisting with many other activities and events in the community. The total documented hours incurred in community work for the total membership is documented at 3,519.

The Northern Region Advisory Council's outlook on community service is that the group is dynamic and constantly "on the move." Never standing still, the council continued to volunteer community hours, helped engage neighborhoods and community involvement, celebrated community service accomplishments, launched the "First Scholarship Award" and much more!

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

# ACCOMPLISHMENTS & OPPORTUNITIES

## MAXIMUM FEASIBLE PARTICIPATION

### ALPI Head Start/Early Head Start POLICY COUNCIL



Standing: Mabel Jones, Jones Connection (Atlanta, GA)

Seated from left to right: Rhonda Boston, Assistant Secretary; Tychus Doe, Secretary; Nijona Patterson, Vice-Chairperson; Corey Breon Williams, Chairperson and Policy Council Board Representative

The ALPI Head Start/Early Head Start Policy Council training took place on October 17 and 18, 2016. Officers and members were seated on October 18, 2016. Training and orientation were provided by Mabel Jones from the Jones Connection in Atlanta, GA. Election of officers were facilitated by Mabel Jones.

Parents on the policy council received a copy of the new Head Start Performance Standards and the Head Start Act. Additionally, they were guided through a thorough review of all regulations. Members were trained on their roles and responsibilities, as well as the decision making process between Board of Directors and the Policy Council.

The new standards will ensure that the nation continues to look to Head Start not only as the leader, but also as a partner in moving early childhood forward. Head Start will continue its commitment to improving the lives of our poorest children through comprehensive services that build on and support the role of parents in the lives of young children, because we know a high-quality Head Start program can change the course of a child's life and engage the entire family.



# ACCOMPLISHMENTS & OPPORTUNITIES

## MAXIMUM FEASIBLE PARTICIPATION

### THE AGRICULTURAL AND LABOR HOUSING DEVELOPMENT CORP. INC.



The Agricultural and Labor Housing Development Corporation (ALHDC) was incorporated in 1993 as a Florida Non-Profit Corporation. It was initially established by the Agricultural and Labor Program, Incorporated (ALPI) for the purpose of building and operating a 57-unit Farmworker Apartment Complex in Auburndale. The ALHDC currently has nine (9) active Board members and four (4) times between July 1, 2016 and June 30, 2017. The ALHDC is an independent corporation, previously established by ALPI, with its own board members and maintains complete autonomy with regards to its mission.

The primary mission of the ALHDC is the provision of affordable rental housing to farmworkers in the Auburndale area of Polk County. In carrying out this mission, the ALHDC owns a 57-unit rental complex in Auburndale, FL (*pictured below*). The complex, New Horizon, is managed by Southwind Management Services, Inc. and offers an on-site management and maintenance team.

In addition to the provision of affordable rental housing to farmworkers, the ALHDC has partnered with ALPI to provide social services to the tenants and the local community. At the New Horizon Community Center, ALHDC, through the Community Services Block Grant (CSBG) program operated by ALPI, the local community is able to obtain various services. This includes (1) emergency assistance (2) family self-sufficiency services (3) job placement and assistance (4) electric assistance, and (5) computer access to the internet. ALPI also maintains two (2) case managers at the complex for the operation of its Family Self-Sufficiency Program (FSSP).

During this reporting period, the Corporation realized another annual audit with no findings, retaining its "low risk" auditee designation.

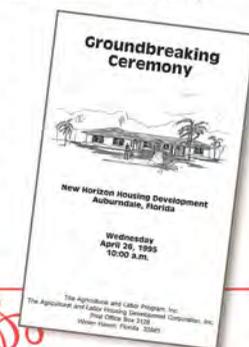
### *A Trip Down Memory Lane...* The Agricultural and Labor Housing Development Corporation, Inc.

During the 1991-92 program year, The Agricultural and Labor Program, Inc. began to pursue a longstanding need for decent, sanitary, low-cost rental housing for farmworkers and their families. ALPI contracted the Danter Company, Inc. to conduct a market analysis of affordable rental housing in Polk County. A very severe shortage of affordable rental housing for migrant and seasonal farmworkers was identified. During the Spring of 1992, ALPI, with the assistance of Florida Non-Profit Housing, Inc., developed and submitted a pre-application for farmworker housing to the Department of Agriculture. ALPI's proposal was to build a 57 farmworker families apartment complex composed of multi-sized, single family units. The development would also include a management office, day care center, play area, laundry facilities, community room and storage area. A new corpora-

tion was born: The Agricultural and Labor Housing Development Corporation, Inc.

On December 29, 1993, ALPI was notified by then Congressman Charles T. Canady of the 12th Congressional District that the project was approved.

Today, the apartment complex continues to provide affordable housing for qualifying residents and historically runs at maximum occupancy.



# ACCOMPLISHMENTS & OPPORTUNITIES

## MAXIMUM FEASIBLE PARTICIPATION

### ALPI TECHNICAL EDUCATION CENTER (ATEC)

ALPI Technical Education Center was established in November of 2004 to provide career and employability skills training in high demand occupations. In 2009 ALPI moved from two modular buildings in Pierson to its current location in Deland, Florida.

The purpose of the ALPI Technical Education Center is to provide State approved training programs to equip the graduating students with the skills and knowledge needed to pursue employment in the occupation trained for or continue into other educational opportunities.

This year ATEC was able to partner with local home care agencies to help our graduating students obtain employment after graduation. ATEC had four class sessions this year for the HHA program and five CNA prep class. A total of 75% of our HHA students were placed in their field of training.

ATEC 2016-2017 CIE monitoring went very well and resulted in no findings. Referrals continue to come in from farmworker programs in Putnam County. Additionally, ATEC's Advisory Council has merged with ALPI's Northern Region Advisory Council. The merger has proven to be very successful and will allow ATEC to better serve the community.

Through its license with the Commission for Independent Education, ALPI has provided diplomas to many farmworkers in the Deland area. In 2010, ALPI received licensing for Home Health Aide training. This has enabled ALPI to reach more of the community and offer more alternatives in obtaining healthcare related training.

## ALPI Technical Education Center (ATEC)



# Success Stories

For more than 12 years the Agricultural and Labor Program, Incorporated (ALPI) has been operating a vocational/technical center in Volusia County. The ALPI Technical Education Center (ATEC) was first established around 2005 to provide ALPI's farmworker clients with training for an alternative career as Nursing Assistants. Through its license with the Commission for Independent Education, ALPI has provided diplomas to many farmworkers in the Deland area. In 2010, ALPI received licensing for Home Health Aide training. This enabled ALPI to reach more of the community and offer more alternatives in obtaining healthcare related training. Below are two success stories resulting from this program.

### Maria D. Avila Lopez



Born in Zacatecas, Mexico, Maria's parents brought her to the US when she was 3. Her parents were agricultural workers who worked in the fields all their lives. With three children of her own, she knew she had to do something to better her life and thereby, the lives of her children. She never graduated high school, but was prepared to do whatever it took to turn her life around. She applied for a work permit, which then allowed her to get a driver's license and ultimately a job. She went through the Putnam County Migrant Program/DOE in order to take the ALPI CNA prep and HHA class. Maria was able to then pass the Certified Nursing Assistant state test and today she is a CNA and a Home Health Aide. Maria currently works at Lakewood Nursing Center.

### Jessica Lopez



Jessica was born in Mexico City, Mexico and was brought to the United States when she was almost two years old. She and three siblings were raised by her mom (an agricultural worker) and stepdad. She graduated from Taylor Middle High School in Pierson, Florida. Jessica was able to benefit from the DACA (The Dreamers Act) through a two year work permit. She quickly obtained her driver's license and was then ready to seek employment after graduation. Jessica went through the Putnam County Migrant Program in order to help her pay for her ALPI CNA prep class. She then went on to pass her CNA state certification test and is now working in a nursing home. She is enrolled in the LPN program at Daytona State College. Because of her status, she does not qualify for financial aid, but she is happy to work hard to pay for her classes. She is currently and happily employed at Parkside Rehabilitation Center.

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

The human element of ALPI's Community Action work is evident at all levels of the organization including effective board and management oversight and a strong human resources infrastructure reflecting the organization's values and mission. 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. Effective outcomes realized during the 2016-2017 program year included the following:

### EFFECTIVE BOARD AND MANAGEMENT OVERSIGHT

During 2016-2017 the ALPI Effective Board and Management Oversight was maintained and enhanced. New and enhancement activities included the following:

#### **CERTIFICATION OF BOARD GOVERNANCE COMPLIANCE**

Review and certification of the Board Governance structure during the Board Management Retreat to determine Board Compliance in accordance with the organization's membership eligibility, Corporate Bylaws, CSBG and Head Start regulation requirements.

#### **CERTIFICATION OF ADVISORY COUNCIL ELECTION PROCEDURES/RESULTS**

Review of each Regional Advisory Council and the HS/EHS Policy Council Election Procedures/Results during the Board Management Retreat to determine membership eligibility and corporate bylaws compliance.

#### **AGENCY SUCCESSION PLAN UPDATE**

Reviewed the agency's Succession Plan and timelines and secured Succession Plan Consultant Agreement to begin search for CEO replacement.

#### **RISK MANAGEMENT ANALYSIS**

Reviewed and approved personnel policies and procedures revisions to ensure ongoing compliance with applicable Dept. of Labor regulatory requirement. Completed CEO Annual Performance Evaluation.

#### **BOARD MEETING ATTENDANCE AND PARTICIPATION QUARERLY REWIEW**

Reviewed quarterly board attendance and committee participation to maintain a quorum at each board meetings and to ensure that 100% of all meetings are held in accordance with the by-laws and the established Board meeting schedule.

#### **BOARD COMMITTEE STRUCTURE**

Maintained an effective board committee structure to reviewed quarterly, agency wide program compliance reports, external monitoring reports, financial management activities, etc., to ensure ongoing compliance with all funding source reporting and services delivery requirements.

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### STRONG HUMAN RESOURCES INFRASTRUCTURE

- Full-time and part-time employment opportunities were maintained to 214 employees in Highlands, Polk, St. Lucie, and Volusia Counties.
- Eligible employees received a minimum of a 1.3% increase effective July 1, 2016.
- 100% of the staff met their Professional Development Individualized Plan (PDIP) training hours and all staff received an annual evaluation. PDIP incentive was awarded to all eligible staff.
- Monthly Health Initiative programs have assisted our employees in engaging in and becoming more aware of healthy choices and activities.
- Worker's Compensation claims decreased by 45%.
- ALPI's Annual training conference was held on January 20th – January 21, 2017.

### ALPI 2017 Annual Staff Training Conference

This year's staff training conference included a dynamic group of trainers who came ready to discuss topics relevant to many challenging issues found in the workplace today, along with a special focus on adaptability and motivation/response. The cutting-edge training was organized in a manner that would enable ALPI's continued transformation into a singular model of what community action is all about.

The training conference began with the traditional staff luncheon, and was immediately followed by an all-staff general session presentation: Risk Management Strategies: Workplace Health and Safety Environment. The presentation was made by Calvin McKinley, Summit Consulting Loss Prevention Manager.

Conference organizers worked diligently to enlist nationally recognized presenters who brought with them a vast amount of experience in their respective fields. Workshops available to staff included: The Best of Ourselves! (exploring the key to healing from within and improving our wellbeing); Sensitivity Training/Workplace Diversity Awareness (discussion on sensitivity awareness and behavioral flexibility); Penny Pinching Priorities - Becoming a Strategic Shopper (building a budget plan, etc.); Prepare for the Unexpected (learning immediate steps to prepare and manage the impact of financial "surprises"); and much more.



# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### STRONG FINANCIAL MANAGEMENT SYSTEM

During 2016-2017 the ALPI Strong Financial Management System was maintained and/or enhanced to ensure ongoing compliance and best business financial management practices. New and enhanced activities included the following:

- Reviewed the 2017 audit report draft with the independent auditing firm during the Board's Management Retreat to determine and certify the organization's financial status and funding source regulatory compliance.
- Annual independent audit certified a sound financial management recordkeeping and reporting system that resulted in a Clean Audit Opinion and a "Low Risk" Auditee Designation.
- Secured adequate funding to fund the organization's 2016-2017 agency wide budget of \$17,820.36, of which 93% was earmarked for direct service delivery.
- Maintained a positive line of credit and cash flow position throughout the year.
- Secured adequate funding to fund and maintain compliance with the Affordable Health Care Act.
- Secured adequate funding to maintain throughout the year, 232 full-time and part-time employment opportunities in Highlands, Polk, St. Lucie and Volusia Counties.
- Conducted Financial Status review meeting with CEO and Finance Director to confirm the maintenance of a positive bottom line and to ensure ongoing regulatory compliance and effective financial resource development management.
- Secured and maintained "no finding" financial management reviews conducted by the Department of Education, The Elderly Home Energy Assistance Program (EHEAP), Worker's Comp Audit, and the U.S. Department of Housing and Urban Development (HUD) Housing Counseling Program.
- Reviewed the organization's fixed assets and property improvement policy during the Board's Management Retreat to determine appropriate actions and resources needed to maintain, replace, renovate and/or lease needed services and equipment.
- Reviewed during the Board's Management Retreat, marketing and resource development options to enhance the organization's marketing and resource development activities and to increase non-restrictive funding opportunities.
- Reviewed and approved the organization Annual Operating Budget for 2016-2017.
- Board Members contributed and/or secured over \$46,000.00 in non-restricted to support agency community relations activities.

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### EFFECTIVE PROGRAM SERVICE DELIVERY AND POSITIVE OUTCOMES

- **CSBG (COMMUNITY SERVICES BLOCK GRANT):** CSBG enrolled 155 families into the family self-sufficiency program with 23 clients obtaining jobs, 10 receiving an increase in income and/or benefits, 8 completing post-secondary education and 46 receiving skills/competencies and/or higher education or training. Additionally, 10 received work experience.
- **FARMWORKER EMERGENCY ASSISTANCE:** Emergency Assistance was provided to 370 farmworkers in 21 counties.
- **CHILD CARE FOOD and NUTRITION SERVICES:** A total of 360,180 meals were provided to pre-school and school age children via the Child Care Food and Nutrition Program.
- **HUD HOUSING COUNSELING:** Housing Counseling or Foreclosure Mitigation was provided to 37 families in Polk and Osceola Counties.
- **LIHEAP (LOW INCOME HOME ENERGY ASSISTANCE PROGRAM):** Services were provided in partnership with seven (7) non-profit organizations to a total of 7,618 clients (via Collier, Glades, Hendry, Highlands, Martin, Polk and St. Lucie Counties).

## LIHEAP ENERGY FAIRS

The Low Income Home Energy Assistance Program (LIHEAP) helps keep families safe and healthy through initiatives that assist families with energy costs. Through this program, ALPI helps provide federally funded assistance in managing costs associated with home energy bills and energy crises.



**FT. PIERCE, FL:** (July 13 and 14, 2016)

The Energy Fair was held at the ALPI Queen Townsend Head Start Center II. This marks the second energy fair held at this location. Once again, the turnout was well beyond what was predicted, proving that the need for assistance is great. Over 635 families were served. Participating vendors included Gertrude Walker, St. Lucie County, Supervisor of Elections, DCF (Department of Children & Families), Treasure Coast Food Bank, Florida KidCare, Enroll Treasure Coast, United Against Poverty, and SAFER St. Lucie (Support Alliance for Emergency Resiliency).

**BARTOW, FL:** (June 15, 2016)

The Energy Fair held at the Polk Street Community Center was yet another successful outreach to the local community by ALPI LIHEAP staff. Over 170 families were served. Participating vendors included Clarke's House, Early Learning Coalition of Polk County, Amerigroup RealSolutions, Central Florida Health Care, Office of Economic Self-Sufficiency, ALPI Central Region Advisory Council, and ALPI Community Services Block Grant (CSBG).



## FSSP: Changing Lives Thru Practical Case Management

Susan Henson was a single Head Start parent raising two boys, one of whom attends the ALPI Frostproof CDC. After deciding she needed to change the direction of her life, she enrolled in the ALPI Family Self-Sufficiency Program (FSSP) in order to obtain her Practical Nursing license. Interestingly, while gathering information, Susan



shared with her case manager (CM) that she too was a Head Start child and had attended the Frostproof CDC as a child.

Susan was accepted into the LPN Program in March 2016, but there were no seats available. However, after receiving a call from South Florida

State College on August 19, 2016 she learned that a seat had become available and she was on the list!

Susan then began her journey through the nursing program with assistance along the way from ALPI. Assistance consisted of help with tuition, books, scrubs and medical supplies, along with gas cards to attend school and complete her clinical rotations and child care fees.

Its important to note that while Susan was enrolled in school, she continued to volunteer at Frostproof CDC. She believes that its important to give back to the community and to those that help others.

On July 28, 2016, Susan's case manager, Sheila Armstead, attended her graduation ceremony at South Florida State College in Sebring!

👉 Congratulations Susan! 👈

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### EFFECTIVE PROGRAM SERVICE DELIVERY AND POSITIVE OUTCOMES

The following data represents the final child outcome results for the 2016-2017 school year from the ALPI's Head Start and Early Head Start web base Teaching Strategies GOLD Ongoing Assessment. Out of 824 possible children, 816 children had enough GOLD data in spring 2016-2017 to be included in this report.

### HEAD START/EARLY HEAD START and SCHOOL READINESS OPPORTUNITIES

Head Start/Early Head Start services were provided to 1,012 children and their families (29 parents were gainfully employed) in St. Lucie and Polk Counties; Voluntary Pre-Kindergarten services were provided to 433 children and their families in St. Lucie and Polk Counties. Other service delivery and accomplished goals and objectives as mandated by federal, state regulations and requirements included the following:

#### EARLY CHILDHOOD DEVELOPMENT AND HEALTH SERVICES

**Education and Early Childhood Development - Child Outcomes:** Based on the Agency's official recordkeeping system (Teaching Strategies GOLD), it was revealed that children have made progress on all domains based on the Head Start Child Development and Early Learning Framework. Classroom activities were enhanced to track progress based on the new revised domains. Teaching staff continued to monitor and evaluate the progress on all eligible kindergarten children.

|                                   | BELOW EXPECTATIONS | MEETING EXPECTATIONS | EXCEEDING EXPECTATIONS |
|-----------------------------------|--------------------|----------------------|------------------------|
| SOCIAL-EMOTIONAL BY PROGRAM       | 16%                | 55%                  | 29%                    |
| PHYSICAL - GROSS MOTOR BY PROGRAM | 22%                | 68%                  | 10%                    |
| PHYSICAL - FINE MOTOR BY PROGRAM  | 13%                | 72%                  | 15%                    |
| LANGUAGE BY PROGRAM               | 16%                | 71%                  | 13%                    |
| COGNITIVE BY PROGRAM              | 19%                | 64%                  | 17%                    |
| LITERACY BY PROGRAM               | 13%                | 64%                  | 24%                    |
| MATHEMATICS BY PROGRAM            | 22%                | 63%                  | 15%                    |



# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### EFFECTIVE PROGRAM SERVICE DELIVERY AND POSITIVE OUTCOMES

**Voluntary Prekindergarten Services:** ALPI provided VPK services to approximately 431 children at the directly operated Head Start centers, in St. Lucie and Polk Counties.

**CLASS Observation Federal Review Results:** The Office of Head Start conducted the federal review CLASS observations during the week of May 9, 2016 thru May 13, 2016 of the Head Start program. The observations were conducted in the majority of the preschool classrooms using the Pre-K Classroom Assessment Scoring System (CLASS). The CLASS tool looks at three domains and ten dimensions of teacher-child interactions and measures those observed interactions on a seven point scale. The following results show the comparison between the National 2016 CLASS:

| OHS CLASS 2016 NATIONAL GRANTEE-LEVEL SCORES BY DOMAIN BY PERCENTAGE |            |            |             |
|----------------------------------------------------------------------|------------|------------|-------------|
| Domain                                                               | Lowest 10% | Median 50% | Highest 10% |
| Emotional Support                                                    | 5.5952     | 6.04       | 6.35        |
| Classroom Organization                                               | 5.2500     | 5.76       | 6.15        |
| Instructional Support                                                | 2.2222     | 2.74       | 3.53        |

| ALPI CLASS 2016 FEDERAL REVIEW SCORES vs. OHS CLASS 2016 NATIONAL GRANTEE LEVEL SCORES |      |                                              |      |
|----------------------------------------------------------------------------------------|------|----------------------------------------------|------|
| ALPI CLASS 2016 SCORES                                                                 |      | OHS CLASS 2016 NATIONAL SCORES<br>Median 50% |      |
| Emotional Support                                                                      | 6.06 | Emotional Support                            | 6.04 |
| Classroom Organization                                                                 | 5.77 | Classroom Organization                       | 5.76 |
| Instructional Support                                                                  | 3.09 | Instructional Support                        | 2.74 |

**Early Childhood Health Services:** We continue to emphasize the importance of community and building long lasting partnerships as we promote family and program advocacy for good health. During the 2016-2017 school year, in collaboration with community partnerships and parents, we were able to provide quality services to children enrolled in our Head Start/Early Head Start Program.

**Nutrition Services:** Families continued to take advantage of the WIC Program. The program continues to promote the Health Services Advisory Committee, in which the WIC Program personnel participate. The WIC Program provided families with hemoglobin screenings, nutritional supplements, and nutritional counseling. The Nutrition Consultant provided individual counseling to families of overweight and underweight children, children with low hemoglobin readings that do not qualify for WIC services, and children with special diets or food allergies.

**Mental Health/Disability:** Mental Health classroom observations were conducted to insure that the school environment is conducive to learning. In collaboration with community partners and a Mental Health Consultant, we provided referrals for assessments and or evaluations.

### FAMILY AND COMMUNITY PARTNERSHIPS

During the 2016-2017 school year, 1,012 families participated in our Head Start/Early Head Start Program. The 897 families received a variety of services .

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### EFFECTIVE PROGRAM SERVICE DELIVERY AND POSITIVE OUTCOMES

**Homelessness Services:** The number of families experiencing homelessness that were served during the 2016-2017 enrollment year was 14.

**Parent Involvement:** Fathers and/or father figures engaged in the various activities, including family assessment, goal setting, education workshops, etc.

**Transportation:** During the 2016-2017 program year, the transportation unit provided services to over 177 children.

**ERSEA:** Total funded enrollment of 831 (100%) children were enrolled and maintained throughout the program year in both counties (St. Lucie and Polk).

During the 2016-2017 school year, the Board of Director's and Policy Council approved: Refunding Applications, New Hires/ Terminations, Agency Personnel/Fiscal Management Policies and Procedures, Internal Dispute Resolution and Community Complaint Policies and Procedures.

**Self-Assessment:** The 2017 Agricultural and Labor Program, Inc. Annual Self-Assessment was conducted over a period of four (4) months beginning in November 2016 and ending in February 2017.

ALPI's goals and objectives for Head Start and Early Head Start were established in March 2017 during annual program planning taking into consideration the requirements outlined in the Head Start and Early Head Start Performance Standards, the Head Start Reauthorization Act as amended December 12, 2007, School Readiness Head Start requirements, CLASS, Information Memorandums, and state and local requirements.

The results of monitoring activities were reviewed and analyzed. A Summary Report was developed showing both findings and weaknesses. The report was presented to the Board of Directors and Policy Council in April 2017. The report included identified program strengths and a listing of confirmed weaknesses of performance listed under "key indicators" used by the Office of Head Start Monitoring Teams to measure program performance.

### 2016-2017 FUNDING

**Department of Health and Human Services:** ALPI received funding from the Department of Health and Human Services to provide comprehensive child development Head Start and Early Head Start services to 831 children and their families. The total funding for the 2016-2017 school year was \$7,414,082.00.

**Early Learning Coalitions:** ALPI received funding from the Early Learning Coalition of St. Lucie County and Polk County to provide Voluntary Pre-Kindergarten Services to kindergarten eligible children for the 2016-2017 school year. The total funding for St. Lucie was \$888,970.57 and Polk was \$37,521.78, making total funding for the 2016-2017 school year \$926,492.35.

**Child Care Food Program:** ALPI received funding from the Child Care Food Program to provide free meals i.e., breakfast, lunch and snacks to children enrolled in the Head Start and Early Head Start Program in St. Lucie and Polk County for the 2016-2017 school year. Total funding from July 1, 2016 thru June 30, 2017 was \$715,885.60. The total meals served including breakfast, lunch and snack is 360,180.

**Child Care:** ALPI received funding from the Early Learning Coalitions to serve children and their families in the School Readiness Program thru the subsidized state funding in St. Lucie and Polk County. The total funding received from the Coalitions and client's private pay for the 2016-2017 school year was \$77,832.99.

# ACCOMPLISHMENTS & OPPORTUNITIES

## OPERATIONS & ACCOUNTABILITY

### EFFECTIVE PROGRAM SERVICE DELIVERY AND POSITIVE OUTCOMES

#### PROFESSIONAL DEVELOPMENT

**Professional Development and Skills Enhancement:** The program continues to promote individual professional development. At the end of each year, validation of trainings and/or formal education is conducted by obtaining In-Service Training hours, Certificates, and Certifications. We tracked trainings, certificates, and certifications in PROMIS. The system validated that staff members participated various training opportunities.

**Facilities, Materials, Equipment:** Successfully complied with federal and state reviews and inspections for buildings and school buses. Throughout the year the facilities were maintained clean and inviting. ALPI successfully maintained the seven (7) directly operated centers' license renewals in accordance with state and local requirements.

#### COMPUTER ASSISTED TUTORIAL PROGRAM (CAT)

The Computer Assisted Tutorial Program (CAT) successfully met 100% of the grants outcomes and served 150 students and their families during the 2016-2017 fiscal year, exceeding the funded enrollment of 130 for the year.

#### FUNDERS MONITORING

ERSEA Review – From 1/23/2017 to 1/24/2017: The Administration for Children and Families (ACF) conducted an ERSEA (Eligibility, Recruitment, Selection, Enrollment, and Attendance) review for the Head Start and Early Head Start Programs, resulting in a finding of 100% compliance.



*Computer Assisted Tutorial Program (CAT) Expansion Group.*

# COMMUNITY ECONOMIC DEVELOPMENT OPPORTUNITIES

## JOBS AND PROFESSIONAL DEVELOPMENT OPPORTUNITIES

During the 2016-2017 program year, ALPI continued to partner with other organizations to provide employability skills training to assist clients in becoming upwardly mobile, especially in the job market. Opportunities offered included the following:

- Full-time and part-time employment opportunities were maintained to 214 employees in Highlands, Polk, St. Lucie, and Volusia Counties.
- ALPI staff continue to work closely with CareerSource to assist in providing employability skills training.
- ALPI's Job Placement Specialist continues working with clients to assist them in preparing for employment.
- Completed and submitted Annual License Application to the Commission for Independent Education (CIE) to offer diplomas in Home Health Aide, Nursing Assistant and Phlebotomy at the Deland training site.
- The CSBG Family Self-Sufficiency Program (FSSP) continued to work with families as a unit for additional education and training.



### ALPI Helps Three Young Men Achieve Their Dreams

*a cut above*



**O**scar was living with his girlfriend, one year old son and his sister while working part time and receiving a weekly income of only \$175.00. He wanted to have a better life, but needed additional funds to complete the barber class at KOE Barber Academy. Oscar told his case manager that eventually he wanted to open his own barbershop. He was able to receive assistance through the FSSP for both his tuition and barber supplies. Oscar successfully completed the program, obtained his license and is currently working at Miami Cuts in Lakeland, FL. Oscar thanked case manager Sheila Armstead, who drove to Mulberry regularly to meet with him, and ALPI for providing the funding for the tuition and supplies.

*What follows are three short success stories of young men whose dream was to become a "professional barber." These young men were able to achieve their dream with the help of their ALPI Family Self Sufficiency Program (FSSP) case manager and KOE Barber Academy in Mulberry, FL.*



**C**hristian was living with his fiancé and their newborn son while employed part time at a packing company when he made the decision to change his life for the better. Christian told his case manager he wanted to be able to live on his own, open his own barbershop, live the American dream and help his parents pay their mortgage. Working with his case manager, Christian was able to receive services for tuition, barber supplies and the state board exam fee. Christian passed the state exam, obtained his license and is currently employed full time at Toni's Barbershop in Plant City, FL. Christian thanked his case manager and ALPI for the services he received to help him achieve his dream.

**P**edro was living with his fiancé when he contacted the ALPI FSSP. He shared with his case manager that he was attending the KOE Barber Academy in Mulberry but needed assistance with tuition and barber supplies. Oscar told his case manager that he wanted to finish school, obtain a better paying job and in the future hopefully open up his own barbershop. Pedro was able to meet the requirements to enter the FSSP and was able to receive the assistance he so desperately needed. Pedro successfully completed the program, obtained his license and is currently working at Miami Cuts in Lakeland, FL. Like his other classmates, Pedro is also grateful for the assistance he received from ALPI and his case manager and acknowledges that without this assistance he would never have made it.



**Pedro Leon**

# COMMUNITY ECONOMIC DEVELOPMENT OPPORTUNITIES

## FUNDING OPPORTUNITIES

ALPI continues to seek out new funding opportunities to offer new programs and services in defined targeted communities. New and/or increased funding opportunities realized during the 2016-2017 program year included the following:

- Expansion of the CSBG Program to Hendry County and the expansion of LIHEAP services to Highlands County.
- ALPI's LIHEAP and CSBG Programs subcontracted for services with more than 10 community and faith based organizations.
- ALPI partnered with Heartland Coalition for the Homeless to provide Case Management to its Emergency Solutions Grant (ESG)
- CEO facilitated completion of Lakeview Park Summer Feeding and Enrichment Program, Launching of CAT Summer Expansion Program, and installation of playground equipment at New Horizon Housing Development (in partnership with the City of Auburndale).

## FAMILY SELF-SUFFICIENCY OPPORTUNITIES

- ALPI partnered with the Highlands County Coalition for the Homeless (HCCH) to assist with the startup and continuation of a homeless grant in five (5) different counties.
- The CSBG Family Self-Sufficiency Program (FSSP) continued to work with families as a unit for additional education and training.

### FUNDS USED FOR CRITICAL SITUATIONS PRODUCE LIFE CHANGING OUTCOMES

A recent settlement was reached with Chase Bank USA N.A. and 48 attorneys general, the District of Columbia, and the Consumer Financial Protection Bureau. Florida received the largest remedial payment of any state in the settlement, with \$15.3 million going to 47 non-profit organizations across the state (Glades, Hendry, Highlands and Polk counties only) to be used for legal services, financial literacy, and other programs related to assisting Floridians with managing debt.

As early as February of this year, ALPI's CSBG department has been contacting and establishing partnership with organizations in the four allowed counties in order to reach out to communities and people in need. The partnerships now include: Clewiston Goodwill Industries, Goodwill Industries of Moore Haven, LaBelle United Way, Clewiston Public Library, LaBelle Public Library, various places of worship, community organizations, and public and governmental entities.

Through the many established partnerships ALPI has been able to assist clients in need of reinstatement of utilities, monthly rental payments, security deposits, and mortgage assistance. More specifically, ALPI has been able to completely resolve the following issues: tenant placed in a nursing facility that was not able to return to her apartment due to unsanitary and unsafe conditions, homeless single parent with 6 children living with a relative in an overcrowded dwelling, a widowed senior citizen with no relatives in the area that faced foreclosure due to unexpected expensive car repairs, a victim of identity theft facing eviction due to been stolen funds from her bank, a domestic violence victim and single



mother of 3 children received an eviction notice, and a homeless mother of 6 children. Recently, a group of tenants (some pictured right) residing in an unsafe and unhealthy dwelling were evacuated by Code Enforcement/Fire Department and escorted out by the Glades Sheriff's Department. All were left homeless within 45 minutes. With assistance from the CSBG team, this group of tenants also received critical assistance and were successfully placed into safe, affordable housing.

Chase Settlement Grant funds are for the provision of financial literacy and other related program services including, but not limited to: crisis intervention, budgeting, basic financial management workshops, emergency assistance to assist families in managing debt to realize financial sustainability and family self-sufficiency.

# Special Thanks and Recognition

## Regional Advisory Councils

|                 |                                                                                              |                                                                                     |                                                                                       |                                                                                           |
|-----------------|----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>Central</b>  | Louvenia Crumrity<br>Earnestine Davis<br>Clora Dubose<br>Patricia Gamble<br>Josephine Howard | Hollis Jackson<br>Lillie Jackson<br>Glenda Jones<br>Annie Larkins<br>Johnnie McNair | Doris Parker<br>Jacqueline Rentz<br>Helen Rowe<br>Patricia Salary<br>Elizabeth Scaife | Margaree B. Simon<br>Dorothy Spencer<br>Ruby Willix                                       |
| <b>Eastern</b>  | Bobby Byrd<br>Frances Cooper<br>Marjorie Gaskin                                              | Constance Griffin<br>William Holt<br>Angela Jules                                   | Fannie Moore<br>Margaret Porter<br>Katherine Sims                                     | Gena Spivey<br>Tiffany Wilder<br>Debra Williams                                           |
| <b>Northern</b> | Constance Anderson<br>Dorothy Curry<br>Sheila Dixon<br>Yvonne Grey                           | Charles Harris, Jr.<br>Marva Hawkins<br>Nereida Jackson<br>Patricia H. James        | Patty McCollister<br>Chester McNorton<br>Ivett Melendez<br>Leona Nater                | David Rucker<br>Evelyn Seabrook<br>Lloyd Thompson<br>Donald Tillman                       |
| <b>Southern</b> | John Ash<br>Keith Brown<br>Katie Clarke<br>Noemi Cruz<br>Kelly Paul Galati                   | Ruth A. Gay<br>Barbara Grace<br>Rosa Hampton<br>LaVita Holmes<br>Annette Jones      | N'Kosi Jones<br>Emma Malcolm<br>Tracy Maloy<br>Bernice Lopez<br>Pamela Moxley         | Lester Roberts<br>Annie Robinson<br>Kimberly R. Ross<br>Beverly Sloan<br>Terry Wellington |

## Head Start/Early Head Start Policy Council

|                                                                                                                      |                                                                                                                                |                                                                                                             |                                                                                                                                         |                                                                                                                                             |
|----------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| Haydian Allen<br>Karen Bailey<br>Melissa Boatwright<br>Rhonda Boston<br>Jasmin Canion<br>Tychus Doe<br>Raquel Garcia | Donna Gibson<br>Lisa Griffith<br>Josephine Howard<br>Samantha Lindsay<br>Crystal Mike<br>Danielle Parrish<br>Nijonia Patterson | Cynthia Penton<br>Juan Rushing<br>Nicole Sikes<br>Brittney Thomas<br>Corey Breon Williams<br><br>ALTERNATES | Bryuana Barnett<br>Satorial Calhoun<br>Jacqueline Castaneda<br>Sharee Harris<br>Antonia Jackson<br>Kim Kleckley<br>Marisa Paige Knyshka | Roshanda Porter<br>Jasmine Pritchett<br>Viola Strowbridge-Lloyd<br>Toni Morgan<br>Zulma Rosario<br>Guilene Timothies<br>Magnolia Washington |
|----------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|

## ATEC Advisory Committee

|                                      |                                 |                |
|--------------------------------------|---------------------------------|----------------|
| Nereida Jackson<br>Patty McCollister | Chester McNorton<br>Leona Nater | Lloyd Thompson |
|--------------------------------------|---------------------------------|----------------|

## ALPI Housing Development Board

|                                       |                                    |                             |                                                        |
|---------------------------------------|------------------------------------|-----------------------------|--------------------------------------------------------|
| Nathaniel Birdsong<br>Patricia Gamble | Josephine Howard<br>Phillip Howard | Glenda Jones<br>Leola Lewis | Johnnie McNair<br>Jacqueline Rentz<br>Elizabeth Scaife |
|---------------------------------------|------------------------------------|-----------------------------|--------------------------------------------------------|

# Special Thanks and Recognition

Special thanks to the ALPI Board of Directors for your tireless fundraising and personal financial contributions throughout this past year, to ALPI staff for your contribution, continued commitment and dedication to the mission of the Agricultural and Labor Program, Inc., and to the following for your generous contributions and Circle of Support participation.

ALPI Executive Department

David Walker, Esq.

William and Lillie Holt

Sheila Dixon

Lawrence and Opal Chester

Apostle Ellis & Pat Gamble

Children of God Outreach Ministries Inc.

Marva Y. Hawkins

Deloris Johnson

Christine Samuel

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Grace Miller

ABC Carpet Cleaning

Jonathan Thiele, Esq.

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# CONGRATULATIONS

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TO THE  
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**Cynthia Downing, President**

**P.O. Box 3595 | Haines City, FL 33845**

# *Happy 50th Anniversary* Agricultural and Labor Program, Inc. 1968 - 2018



Celebrating 50 years of Community Service

*From Elizabeth Young & Family*

Best wishes for a successful 2018 annual meeting. As I retire from service as an employee, I wish the agency continued success in meeting the challenges of "Embracing Diversity and Empowering People". Many thanks for the great memories that I will carry in my heart and mind forever.



**Congratulations to  
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# FLORENCE VILLA COMMUNITY DEVELOPMENT

## MISSION

The Florence Villa Community Development Corporation is a comprehensive, community-based organization which provides programs and services that maximize opportunities to raise the economic, educational, housing, cultural and health standards of the residents of the Florence Villa and Central Florida Communities.

*We congratulate the Agricultural and Labor Program, Inc. on its 50th Anniversary.*

Nathaniel Birdsong, Jr., Executive Director  
Sandra Henry, Board of Directors President

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Selvin McGahee  
Executive Director

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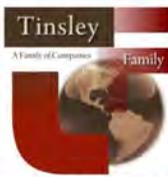
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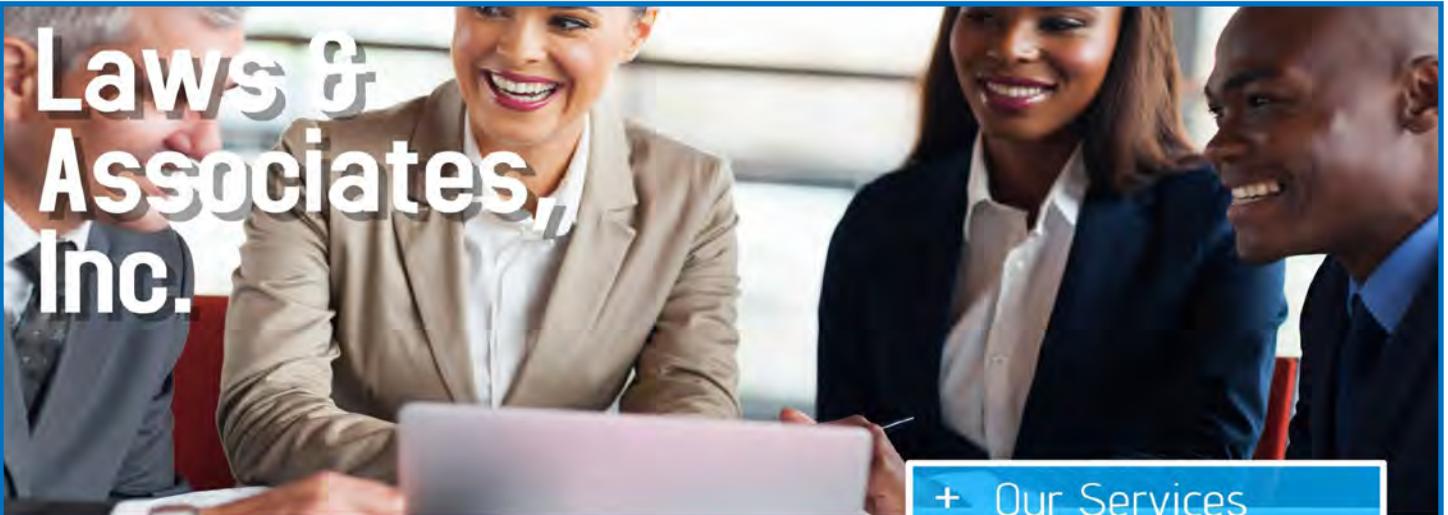
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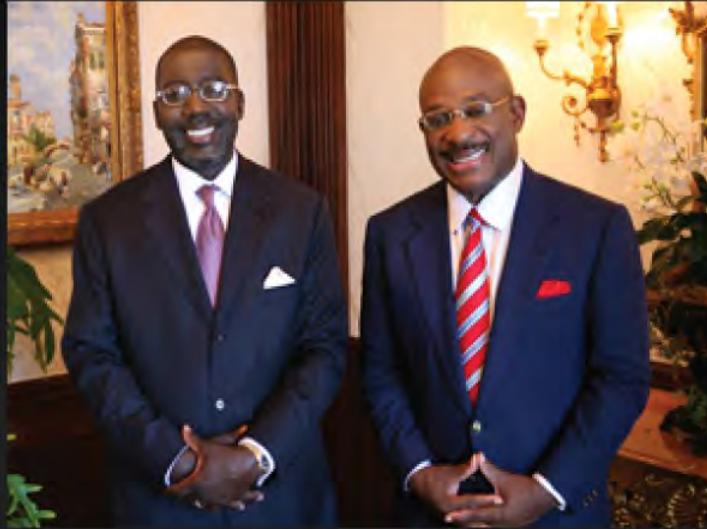
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*Pastor/Teacher  
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*on your*  
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CELEBRATION!**



**1968 - 2018**



*from the*

**William & Lillie Holt Family**

# CONGRATULATIONS

Agricultural and Labor Program, Inc.

## 50th Year Anniversary Celebration



"Thank You"

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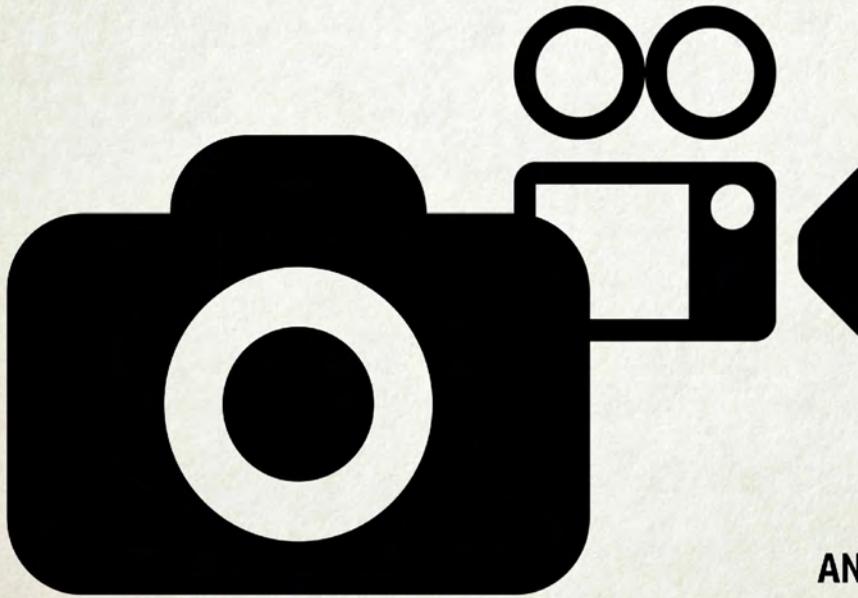
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50th Anniversary

*"An individual has not started living until he can rise above the narrow confines  
of his individualistic concerns to the broader concerns of all humanity."*

Dr. Martin Luther King, Jr.

*C. Robinson & M. Crespo*

# Thank You

TO THE LEADERSHIP AND STAFF

*of the*

Agricultural and Labor Program, Inc.  
For Your Service to Our Communities



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# *Congratulations*

# **AGRICULTURAL AND LABOR PROGRAM, INC.**

**ON 50 YEARS OF HELPING  
PEOPLE AND CHANGING LIVES**

*from*

**▶ Centurion Services, LLC ◀**

# Head Start/Early Head Start Center Locations

## POLK COUNTY

Frostproof Child Development Center  
701 Hopson Road  
Frostproof, FL 33843

ALPI Child Development and  
Family Services Center  
198 NW Marion Avenue  
Port St. Lucie, FL 34983

## ST. LUCIE COUNTY

Lincoln Park Head Start Center  
1400 Avenue M  
Fort Pierce, FL 34950

Francina Duval Head Start Center  
1035 South 27th Circle  
Fort Pierce, FL 34950

G. W. Truitt Family Services Center  
1814 North 13th Street  
Fort Pierce, FL 34950

Garden Terrace Head Start Center  
1110 North 32nd Street  
Fort Pierce, FL 34950

Queen Townsend Head Start Center II  
2202 Avenue Q  
Ft. Pierce, FL 34950

## CONTRACTED CENTERS

Learning Tree Academy, Inc.  
2808 Avenue D  
Fort Pierce, FL 34947

Loving Care Child Development Ctr. Inc.  
1207 South 28th St.  
Fort Pierce, FL 34947

Sunrise Country Preschool  
2706 Sunrise Blvd.  
Fort Pierce, FL 34982

Jumpstart Development Center  
1068 Pine Avenue  
Lake Wales, FL 33853



# Community Services Block Grant

## SERVICE DELIVERY SITES

The Community Services Block Grant (CSBG) Program is comprised of two components: the Family Self-Sufficiency Program (FSSP) and Emergency Services. Applicants may apply, through appointment only, for services at the following locations.

### GLADES COUNTY

Glades County Community Development Dept.  
Goodwill Industries of Southwest Florida

### HENDRY COUNTY

Goodwill Industries of Southwest Florida  
The Salvation Army

### HIGHLANDS COUNTY

Heartland Coalition for the Homeless  
Big Brothers/Big Sisters of the Sun Coast, Inc.  
South Florida Community College

### POLK COUNTY

Agricultural and Labor Program, Inc.  
New Horizon Apartments  
Lakeview Park Community Center  
Women's Resource Center  
Boys and Girls Club of Lakeland, Inc.  
Ridge Career Center  
Center for Independent Living  
Women's Resource Center  
Chain of Lakes Achievers  
Family Fundamental-CSBG Services

# Low-Income Home Energy Assistance

## SERVICE DELIVERY SITES

The Low-Income Home Energy Assistance Program (LIHEAP) provides assistance through payment of electric bills on behalf of eligible households. A client can receive one home energy payment and crisis payment per year. Services are provided in six counties at the following locations.

### COLLIER COUNTY

COFFO  
Macedonia Baptist Church  
Goodwill Industries  
of Southwest Florida

### HENDRY COUNTY GLADES COUNTY

Goodwill Industries  
of Southwest Florida

### HIGHLANDS COUNTY

ALPI - Avon Park Office

### MARTIN COUNTY

House of Hope  
Port Salerno Church of God

### POLK COUNTY

ALPI - Lake Alfred Corporate  
Florence Villa CDC

### ST. LUCIE COUNTY

In the Image of Christ, Inc.  
Mustard Seed Ministries



# Farmworker Emergency Assistance

## SERVICE DELIVERY SITES

### COLLIER COUNTY

COFFO

Collier County  
Housing Authority

Immokalee Technical  
Center

### DADE COUNTY

Centro Campesino  
South Dade Skills Center

### HARDEE COUNTY

East Coast Migrant HS  
Heartland Work Force One Stop

### HIGHLANDS COUNTY

South Florida State College

### HILLSBOROUGH COUNTY

Adult Migrant Program  
Good Samaritan Mission  
RCMA Balm

### MANATEE COUNTY

Manatee Technical Institute  
Vocational Tech Center

### ORANGE COUNTY

John Bridgers Community Center  
Farm Worker's Association  
Orange County School  
District Westside Technical Center  
RCMA-Zellwood

### PASCO COUNTY

Moore Mickens Adult Education

### PALM BEACH COUNTY

Farmworker Jobs and Education

### POLK COUNTY

Adult Migrant Program  
ALPI Corporate Office  
Ben Hill Griffin, Jr. Elem. School  
East Coast Migrant

Frostproof Care Center

Lake Wales Care Center  
RCMA Mulberry

### PUTNAM COUNTY

Adult Migrant Program

### ST. LUCIE COUNTY

IRSC

### SEMINOLE COUNTY

Adult Migrant Program  
Seminole State College

### VOLUSIA COUNTY

ALPI Project Achieve

During the 2016-2017 contract year the following were served: *Florida Non-Profit Housing funds (\$24,000)*: 104 clients served, providing rental, light and water assistance to farmworker families. *DOE funds (\$31,200)*: 313 clients served, providing food cards, gas cards, water and electric assistance to farmworker families.

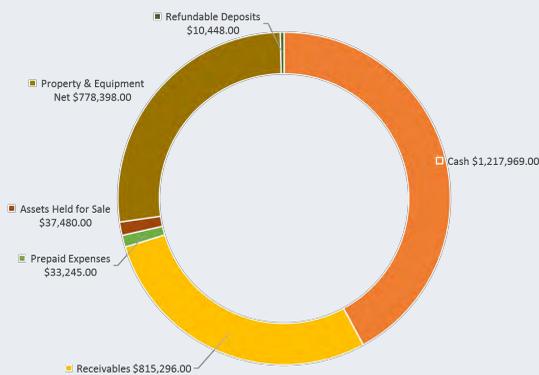
# FY 2017 FINANCIAL HIGHLIGHTS

# 93%

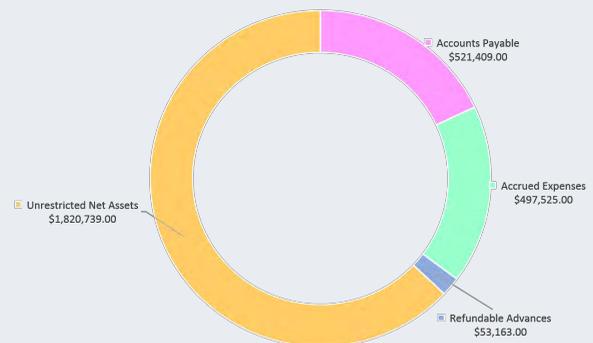
OF ALL FUNDING RECEIVED GOES DIRECTLY TO PROGRAM SERVICES

## STATEMENT OF FINANCIAL POSITION

**FY 2017 ASSETS  
\$2,892,836**



**FY 2017 LIABILITIES & NET ASSETS  
\$2,892,836**

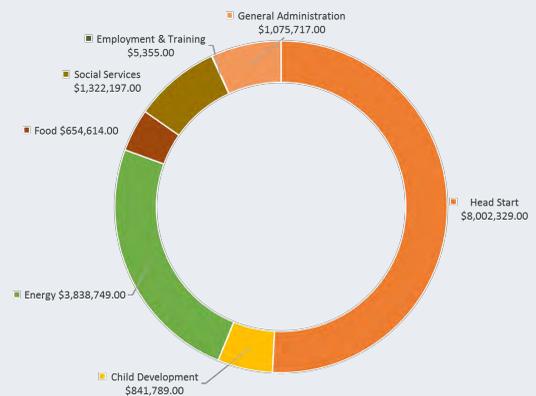


## STATEMENT OF ACTIVITIES

**FY 2017 SUPPORT & REVENUE  
\$15,746,027**



**FY 2017 OPERATING EXPENSES  
\$15,740,750**



**NET SURPLUS  
\$5,277**

# Contact Us

[www.alpi.org](http://www.alpi.org)

## LAKE ALFRED, FL

### EXECUTIVE DEPARTMENT

863-956-3491, x206  
Deloris Johnson, CEO  
P.O. Box 3126  
Winter Haven, Florida 33885

### ADMINISTRATION & OPERATIONS QUALITY CONTROL DIVISION

OPERATIONS & QUALITY CONTROL  
863-956-3491, x204  
Twila Steward

### BUDGET & FINANCE

863-956-3491, x210  
Dennis Gniewek

### HUMAN RESOURCES

863-956-3491, x202  
Christine Samuel

### COMMUNITY SERVICES & ECONOMIC DEVELOPMENT DIVISION

863-956-3491, x212  
Albert Miller

### LIHEAP/COMMUNITY SERVICES

863-956-3491, x224  
Cheryl Burnham

### CSBG/ECONOMIC DEVELOPMENT

863-956-3491, x218  
PaHoua Lee-Yang

## FORT PIERCE, FL

### CHILD DEVELOPMENT & FAMILY SERVICES DIVISION

863-956-3491, X215  
*Eastern Region Administration Office*  
2202 Avenue Q  
Ft. Pierce, FL 34950

### HEAD START/EARLY HEAD START PROGRAM OPERATIONS

772-466-2631, x 11  
Myrna Rodriguez

## FROSTPROOF, FL

### EARLY HEAD START PROGRAM OPERATIONS (Polk County)

863-635-3396  
Aletta Stroder  
701 Hopson Road  
Frostproof, FL 33843

# The Agricultural and Labor Program, Inc.

Celebrating 50 Years of Community Services.  
Acknowledging the Past ... Preparing for the Future.

1968 - 2018

The Agricultural and Labor Program, Inc. (ALPI), headquartered in Winter Haven, Florida, is an IRS certified 501(c)(3) private, nonprofit organization. The Agricultural and Labor Program is a direct descendent of the Agricultural and Labor Project, established in 1968 by the Coca-Cola Company to improve the quality of life for farm workers in their Florida citrus operations. Today, ALPI serves the total spectrum of socially and economically disadvantaged children and families throughout Florida.

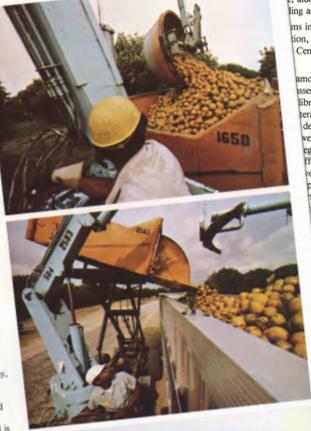
In the early 70's, the organization made available child care services to the children of migrant and seasonal workers when no other service providers were available to meet the child care needs of these families. Since the late 70's, ALPI has continued to operate as the Central Agency for Subsidized Child Care Services that provides child care for as many as 6,000 children per year!

Over the years, a vast network has been established by ALPI. This network is comprised of agencies, churches, organizations and private groups and/or individuals whereby some provide direct financial assistance, others distribute applications for services. Partnerships and collaborative efforts between ALPI and the communities we serve are crucial to the success of service delivery.

In the years since its inception, The Agricultural and Labor Program, Inc. has continued to grow and to expand 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 services.



With lift trucks empty tubs of fruit are trucked down to the processing plant where they are packed in trailers along a gravel road. When full, the trailers are hauled by truck to the processing plant.



The fringe benefits program of the regular workers includes those originally provided when the Agricultural and Labor Project began: major medical and life insurance, worker's compensation, vacation, holiday and sick pay, a tuition refund plan, retirement and thrift plans and travel/accident insurance. In addition, there have been others added such as funeral leave, jury duty leave, and bus breakdown time. The total benefits package adds substantive financial advantages to worker income and is particularly significant compared to the rest of the Florida citrus industry where only a small percentage of the work force is covered by health insurance, life insurance, sick leave, retirement plan and paid vacation. For employees in the Company's Florida citrus groves, the achievements of the Agricultural Labor Project have proved that the poverty cycle perpetuated through generation after generation can be broken and the migratory agricultural worker can reach an employment income level on a parity with workers in other industries. At last, he realizes that his traditional position at the bottom of the labor market isn't exclusively his, and that he has the capability and the power of improving his own standard of living.



In addition to normal library services, the Library offers a wide range of activities including recreation, tutorial sessions and cultural enrichment programs.

Library aides take books and materials into living assistance where needed. Activities in the regions include sports, career counseling and field trips to the Center and other educational and



Among people of various ethnicities are held in basic English for library offers one of the finest programs in the South. Regions (dealing with the practices, as well as the workers' various region has held Mexican fiestas. Different foods and customs to be shown depicting the speaking persons to society as a whole, theatrical productions and large of cultural information. Instituted in 1971, services of the until now the ALPI is outreach services available in of para-professionals selected intensive training. Going into of families, these outreach in such areas as counseling, education, preventive medicine



Addressing the assembly is Corporate Personnel Manager William M. Kelly of The Coca-Cola Company who directed the Project from its inception. In the foreground members are seen in by former Project Manager Randy R. Maxwell. Below, people view the new building.





PROGRAMS AND SERVICES ARE FUNDED IN PART BY:



United Way of Central Florida and United Way of St. Lucie County