

M e m o r a n d u m

To: CAPCO Board of Directors
From: Eden C. Harrington-Hall, Assistant Director
Date: September 20, 2016, 2016
Subject: Board of Directors Meeting

This is to inform you that a CAPCO Board of Directors meeting will be held at 12:00 ***p.m. September 22, 2016 at the main office***

If you have any questions, or would like additional information about the Board packet, please call me at CAPCO - 753-6781.

Board of Directors Meeting Agenda

September 22, 2016

- I. Call to Order
- II. Approval of the July 28, 2016 Meeting Minutes
- III. **Standing Committee Reports**
 - **Executive Committee – no meeting**
 - **Finance and Audit Committee**
 - ***Motion to Receive and File Financial Statements.***
16 – 39 – is seeking your acceptance the HS/EHS Leases
 - ***Board Development Committee***
Resolution:
16 – 40 – is seeking your acceptance the seating of Doug Bentley as a Public Sector Representative, representing Alane VonDonsel, Cortland City School Board
 - ***PP& E Committee***
 - ***Resolution:***
16 – 41 – is seeking your acceptance the HS/EHS Annual Self-Assessment 2015-2016 Program Improvement Plans
- IV. Executive Director Report
- V. Program Director Reports
 - WIC
 - Family Development
 - Weatherization
 - Head Start
 - CDPAP
 - HR
- VI. Head Start Policy Council Update
- VII. Old Business
- VIII. New Business
- IX. Adjournment

Board of Directors Meeting Minutes

July 28, 2016

- I Meeting called to order at 12:02 p.m.
In attendance: Helen Spaulding, Paula Currie, Rama Haidara, Shawn Allen, Mary Ann Discenza, Pat Snyder, Gary Dallaire, Shelly Warnow, Billie McNabb. Excused: Penny Prignon, Luann King, Elizabeth Haskins. Guest: Bettina Liphardt, Auditor
- II. Approval of the June 22, 2016 Meeting Minutes made by Rama Haidara; seconded by Billie McNabb. There being no discussion, motion carried.
- III. **Standing Committee Reports**
 - **Executive Committee**
Resolution:
 - 16 – 37 – is seeking your acceptance the Health Insurance renewals and employee contributions. Motion for acceptance made by Shawn Allen; seconded by Shelly Warnow. We are keeping the same three plans as last year, however, the employee plus one option was eliminated. This was because if we chose to keep the employee plus one option, Excellus would drive the cost up significantly across all three tiers. The good news is that the employee plus one option is still available with the dental insurance. There being no further discussion, motion carried.
 - ! • **Finance and Audit Committee**
Resolution:
 - 16 – 38 – is seeking your acceptance the 2015 Audit, 2015 990's and the 2015 401(k) audit. Motion for acceptance made by Helen Spaulding, seconded by Gary Dallaire. Bettina Liphardt from the Bonadio Group highlighted the following from the 2015 audits:
 - There were no material weaknesses in internal controls identified and there were no single audit findings.
 - Fees and grants receivable decreased by \$322K, this is primarily due to the timing of HS/EHS drawdowns.
 - Assets increased by \$107K with the renovation of the South Main property.
 - The current ratio is 3.7, which is considered very strong. The targeted recommendation is 1.1.
 - Day's Cash on Hand was 29.1 – the target is at least 30 days.
 - There was a \$108K deficit - primarily due to the reduction in the Medicaid reimbursement rate.
 - CAPCO's A-Score, which is a financial analysis model for non-profits to analyze their overall financial condition and stability is 83. In terms of similar agencies our overall financial position is above average with the typical average being 66.
 - Current year recommendations are:

- Electronic time reporting
- Positive pay fraudulent check controls.
- Continue to expand unrestricted revenue. It is generally recommended that NFP general 3% of revenue each year from these activities.
- 990 Review – no major changes for the current year.
- 401K Audit
 - Total investments increased 3%.
 - Earnings lost 1% - mainly due to the market.
 - Recommendation – Missed Deferral Opportunities – this was a result of incorrect information from MOA.

There being no further discussion, motion carried.

- Motion to Receive and File Financial Statements. – Martha noted that all reports have been submitted in a timely manner. There being no further discussion, motion for acceptance made by Rama Haidara; seconded by Billie McNabb. Motion carried.

- ***Board Development Committee – No meeting***

- ***PP& E Committee***

IV. Executive Director Report

V. Program Director Reports

- WIC
- Family Development
- Weatherization
- Head Start
- CDPAP
- HR

VI. Head Start Policy Council Update

VII. Old Business

VIII. New Business

IX. There being no further business, motion for adjournment made by Rama Haidara; seconded by Billie McNabb. Meeting adjourned at 1:09 p.m.

Members present: Penny Prignon, Helen Spaulding. Excused: Paula Currie. Absent: Carole Ann Davies. Staff: Lindy Glennon, Martha Allen.

Meeting called to order at 12:40 p.m.

The committee did not have a quorum, so no actions were taken.

Martha reviewed the monthly financials and monthly report (see attached). All reports and filings are current. Nothing outstanding. Currently working on Cost Report for CDPAP and finals for HS/EHS 2015-16 contract.

- All CDPAP billings are current through payroll ending 9/2/16. We have received the retro payments for the enhanced CDPAP Medicaid rate. All reimbursement rates are up to date.
- Early Child Development – new contract started July 1. Leases for new properties were presented. Changes include new lease for Barry Elementary (standard Cortland City Schools lease). The second is for Cosimo's. We will have 2 leases at Cosimos –one for classrooms/office and one for kitchen space. The kitchen is a month to month lease as we are exploring opportunities at Gatherings. These leases include a 10% increase over last lease. The lease with the YMCA is same dollar cost as last year, but instead of being billed separately for cleaning costs, that is now part of the lease.
- Energy Services received the approved amendment contract for the full \$400,000. Denise is preparing a grant proposal for RESTORE funding in the amount of \$75,000. This is the first year in several that we've been able to apply. We have received strong community support for this grant.
- Family Development – we received a Back to School grant for \$24,500. It was approved on 9/8/16 and has to be expended by 9/30/16. We have been able to provide back to school clothes and shoes for more than 150 children to date (Brandy's still out there). We've also provided new shoes, haircuts, back to school supplies and backpacks, athletic equipment and musical instruments.
- WIC – current contract ends 9/30/16. No deficit anticipated. New contract beginning 10/1/16 has been approved.

Lindy shared funding updates.

- Proposal was submitted to JM McDonald Foundation on 9/15/16 for funding for Development Director. The proposal was for \$147,000, funding for position for 24 months.

- We were notified that our application for the Healthy Families program was approved but not funded due to lack of sufficient funds. Lindy has requested a debriefing meeting with OCFS to get more information regarding likelihood and timeframe for additional funding.
- Dormitory Authority – the grant we submitted in January 2016 requesting funding for renovations at S. Main to include replacing doors and windows, new boiler/heating system, commercial kitchen and support for renovation done after 4/1/15 has to be resubmitted. The Dormitory Authority was overwhelmed by the number of proposals. They were able to get additional funding from the State – now have \$1m to grant. But, we have to resubmit a new grant – due Sept. 30, 2016. We will be resubmitting.

Finance report will be given at Board meeting tomorrow, Sept. 22 with request to received and file.

Meeting adjourned at 1:05 p.m.

FINANCE COMMITTEE REPORT
SUMMARY OF APRIL 2016 FINANCIAL STATEMENTS
PRESENTED BY Martha Allen
September 21, 2016

AGENCY

All reporting requirements have been met.

CDPAP

CDPAP billing has been submitted through the payroll ending September 2, 2016.

The amended Enhanced Rate was approved on July 15, 2016, retro to 1/1/2016. On August 18th we received payment for the difference between our original and amended enhanced rate on all previously paid billing.

EARLY CHILDHOOD DEVELOPMENT

The 2016-2017 leases are attached for review. We have two new locations, Barry School (HS/UPK) and Elm Tree. The First United Methodist lease ended 6/30, we paid rent for July, Aug & Sep until Elm Tree renovation was completed. The Cosimos leases are waiting signatures, we will have 2 lease agreements: the classroom section renewal for 12 months; the kitchen section has a month-to-month lease. The current lease ended on July 31st, we paid August and September rent based on the 2015/2016 lease.

ENERGY SERVICES DEPARTMENT

The WAP Contract Amendment PY2016 #1 Memo, increasing the contract to \$400,000 (same as 2015 contract) was approved on August 26, 2016.

FAMILY DEVELOPMENT DEPARTMENT

We are still awaiting approval of the 2017 CSBG contract. The state set aside their review of the refunding package to process the Back to School Initiative Grants.

We applied for the \$24,500 Back to School grant and received approval on September 8th. All funds must be spent and distributed by September 30, 2016. To date, Brandy and Family Development staff have spent more than \$15,000 on school supplies, clothes, shoes, haircuts, athletic equipment.

The TRACS Draft Report was issued on August 4, 2016. The Fiscal section, Standards 8.1 – 8.13, is attached for your review. As stated in the July meeting all fiscal standards were met. Two of the indicators in 8.10 were not met: Physical inventory taken every two years and Bank account balances are under Federally Insured Limits. Our plans are:

Grantee Comments:

Standard 8.10 – An updated physical inventory will be completed by 12/31/16.

CAPCO has been working with our banks to identify a way to keep account balances below the FDIC limits.

We have met with representatives to review the option of using sweep accounts. The bank is preparing a proposal for this agreement. This will be completed as soon as possible, but no later than 12/31/16.

WIC

The WIC and EPC contract end September 30th, a deficit is not anticipated.

The 2017 WIC Contract was approved on September 15, 2016.

CORTLAND COUNTY COMMUNITY ACTION PROGRAM, INC.
FINANCE DIRECTOR MONTHLY CHECKLIST
FOR THE MONTH July 2016

Submitted by Martha Allen on September 21 , 2016

ITEM/REPORT	DUE	DATE FILED
Subsidiary ledgers in balance for the month?	N/A	yes
Bank accounts have been reconciled through?	N/A	Aug-16
Accounts receivable over 90 days past due	N/A	yes
Accounts payable over 90 days past due	N/A	none
NYS Sales and Use Tax Filing	3/21/2016	3/14/2016
Coporate Tax Returns - IRS 990 & CHAR 500	5/15/2016	8/11/2016
Coporate Tax Returns - IRS 5500 (Retirement)	5/15/2016	ext to Oct 15th
Quarterly payroll tax returns filed by complete payroll?	qtrly	yes
Form 1099's	1/31/2016	1/15/2016
EO 38 Filing	6/30/2016	6/30/2016
Program Reports		
CSBG 2015-2016 py		
20% Expenditure report		2/29/2016
45% Expenditure report		7/18/2016
70% Expenditure report		
1st Qtr Program/Fiscal Attestation Forms	1/31/2016	2/2/2016
2nd Qtr Program/Fiscal Attestation Forms	4/30/2016	4/20/2016
3rd Qtr Program/Fiscal Attestation Forms	7/31/2016	7/19/2016
4th Qtr Program/Fiscal Attestation Forms	10/31/2016	
1st qtr MWBE Reports	1/10/2016	1/7/2016
2nd qtr MWBE Reports	4/10/2016	4/8/2016
3rd qtr MWBE Reports	7/11/2016	7/11/2016
4th qtr MWBE Reports	10/10/2016	
Unaudited Financial Statements	11/30/2016	
Energy Services		
WAP 16-17 py		
Monthly Voucher to Energy Services for presentation to DHCR	15th of month	8/11/2016
1st qtr MWBE Reports	7/11/2016	7/11/2016
2nd qtr MWBE Reports	10/10/2016	
3rd qtr MWBE Reports	1/10/2017	
4th qtr MWBE Reports	4/10/2017	
Unaudited Financial Statements	5/31/2017	
Head Start & Early Head Start 15-16 py		
Quarterly Form 425:		
1ST QTR	4/30/2016	4/19/2016
2ND QTR	7/30/2016	7/18/2016
3RD QTR	10/30/2016	
4TH QTR	1/30/2017	
Form 425 due:		
semi-annual	1/30/2016	1/11/2016
preliminary annual	8/31/2016	8/30/2016
final	10/30/2016	
WIC 15-16py		
Monthly Voucher	30 days after month end	8/19/2016
Final Voucher	11/14/2016	
CDPAP		
Cost Report	9/30/2016	

CAPCO

Balance Sheet

	8/31/2016	7/31/2016	6/30/2016	5/31/2016	4/30/2016
ASSETS					
CURRENT ASSETS					
Cash	\$406,285.96	\$345,075.39	\$344,249.04	\$531,662.02	\$456,008.50
Grants Receivable	\$296,517.52	\$329,396.08	\$393,912.00	\$348,615.42	\$450,111.84
Accounts Receivable					
ACCOUNTS RECEIVABLE	\$233,906.80	\$453,041.60	\$462,578.33	\$451,469.51	\$413,926.24
Less: ALLOWANCE FOR DOUBTFUL ACCOUNTS	\$11,000.00	\$11,000.00	\$11,000.00	\$11,000.00	\$11,000.00
MEDICAID VARIANCE RECEIVABLE	(\$196.36)	(\$196.36)	(\$196.36)	(\$196.36)	(\$196.36)
Net Accounts Receivable	\$222,710.44	\$441,845.24	\$451,381.97	\$440,273.15	\$402,729.88
Prepaid Expenses	\$237,530.05	\$199,605.38	\$75,715.73	\$95,009.92	\$104,874.02
TOTAL CURRENT ASSETS	\$1,163,043.97	\$1,315,922.09	\$1,265,258.74	\$1,415,560.51	\$1,413,724.24
PROPERTY AND EQUIPMENT					
Vehicles, furniture and equipment	\$734,975.42	\$738,509.56	\$739,850.28	\$740,627.90	\$743,036.60
Building	\$1,181,553.16	\$1,181,553.16	\$1,181,553.16	\$1,181,553.16	\$1,181,553.16
NET PROPERTY AND EQUIPMENT AT COST	\$1,916,528.58	\$1,920,062.72	\$1,921,403.44	\$1,922,181.06	\$1,924,589.76
Less Accumulated Depreciation	(\$1,001,405.38)	(\$1,001,405.38)	(\$1,001,405.38)	(\$1,001,405.38)	(\$994,738.28)
TOTAL PROPERTY AND EQUIPMENT	\$915,123.20	\$918,657.34	\$919,998.06	\$920,775.68	\$929,851.48
TOTAL ASSETS	\$2,078,167.17	\$2,234,579.43	\$2,185,256.80	\$2,336,336.19	\$2,343,575.72
LIABILITIES AND NET ASSETS					
CURRENT LIABILITIES					
Accounts Payable	\$244,921.41	\$140,104.81	\$14,565.07	\$37,982.70	\$52,775.48
Payroll taxes and Accruals	(\$94,030.45)	\$46,361.19	\$61,481.98	\$201,273.54	\$196,618.66
Other Current Liabilities	\$9,464.52	\$7,436.83	\$7,219.59	\$8,002.40	\$7,473.63
Deferred Income	\$84,520.35	\$89,515.35	\$94,510.35	\$99,505.35	\$104,500.35
Total CURRENT LIABILITIES	\$244,875.83	\$283,418.18	\$177,776.99	\$346,763.99	\$361,368.12
LONG-TERM DEBT	\$381,551.15	\$382,256.25	\$382,987.23	\$383,687.10	\$384,413.02
TOTAL LIABILITIES	\$626,426.98	\$665,674.43	\$560,764.22	\$730,451.09	\$745,781.14
NET ASSETS	\$1,473,703.99	\$1,588,777.52	\$1,624,492.86	\$1,605,885.38	\$1,597,794.86
Total LIABILITIES AND NET ASSETS	\$2,100,130.97	\$2,254,451.95	\$2,185,257.08	\$2,336,336.47	\$2,343,576.00

***Resolution of the Board of Directors
of
Cortland County Community
Action Program, Inc.***

Resolution No.16-39

WHEREAS, the Cortland County Community Action Program, Inc. Board of Directors
has reviewed the Head Start/Early Head Start leases.

Be it resolved that September 22, 2016 the Board of Directors has adopted for acceptance
the Head Start/Early Head Start leases.

President

Date

ECD Leases

Location	Lease Dates	Annual Amount	
Barry	8/1/16 to 7/31/2017	\$	3,500.00
Parker	8/1/16 to 7/31/2017	\$	3,500.00
Randall	8/1/16 to 7/31/2017	\$	3,500.00
Smith	8/1/16 to 7/31/2017	\$	3,500.00
Appleby/Marathon	9/1/2016 to 7/31/2017	\$	3,000.00
Homer	7/1/16 to 6/30/2017	\$	9,600.00
McGraw	9/1/2016 to 8/31/2017	\$	4,800.00
YMCA	8/1/16 to 7/31/2017	\$	18,000.00
Coismos - Class	8/1/16 to 7/31/2017	\$	45,540.00
Coismos - Kitchen	8/1/16 - month to month	\$3,245 per month	
Elm Tree	8/1/16 to 7/31/2017	\$	17,400.00

**LEASE AND SERVICE AGREEMENT
CORTLAND CITY SCHOOL
Cortland County Community Action Program, Inc.**


This agreement entered in this 1st day of August 2016, between Cortland County Community Action Program, Inc., 32 North Main Street, Cortland, New York 13045. (CAPCO) and the Cortland City School, 1 Valley View Drive, Cortland, New York 13045, is entered into for the purpose of defining the terms under which Cortland will provide to CAPCO Head Start, user space and service in the Cortland City School. This agreement is entered into for the purpose of defining the terms and conditions under which Cortland will lease to CAPCO Head Start the right to use and occupy on a regular basis a portion of the property.

1. CAPCO Head Start shall have the use of one classroom in the Barry Elementary School, 1 Raymond Avenue, Cortland, New York 13045. The classroom number may change per the request of the school district.
2. The designated space will be available for use by the CAPCO Head Start Program from August 1, 2016 through July 31, 2017. See #12. Hours of operation are 8:00 a .m. to 4:30 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Cortland School personnel.
5. CAPCO Head Start Program will pay Cortland \$3500.00 per year. Payable monthly at a rate of \$350.00 per month for a 10-month period.
6. CAPCO Head Start will utilize the Barry Elementary School phone system according to their regulations.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Cortland City School as an insured under the policy. A certificate of insurance will be issued annually to Cortland School District.
8. Cortland School District will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of Cortland School District. The term alterations include attachments (permanent or

temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.

11. Cortland School District and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communications regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
12. This lease and service agreement shall be extended automatically for one year and from year to year thereafter, without further notice by either party upon the same terms and conditions, including rent. Either party may terminate this lease at any time upon giving either party a written notice sixty (60) days in advance of the termination of this lease.

Cortland City School District

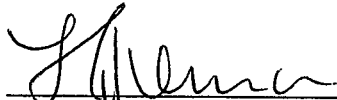


President of the Board

6-14-16

Date

Cortland County Community Action Program, Inc.



CAPCO Executive Director

6/20/16

Date



CAPCO Head Start Director

6/20/16

Date

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1. CAPCO Head Start shall have the use of one classroom, in the ~~Parker~~ Elementary School, Madison Street, Cortland, New York 13045. The classroom number may change per the request of the school district.
2. The designated space will be available for use by the CAPCO Head Start Program from August 1, 2016 through July 31, 2017. See #12. Hours of operation are 8:00 a .m. to 4:30 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Cortland School personnel.
5. CAPCO Head Start Program will pay Cortland \$3500.00 per year. Payable monthly at a rate of \$350.00 per month for a 10-month period.
6. CAPCO Head Start will utilize the Parker Elementary School phone system according to their regulations.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Cortland City School as an insured under the policy. A certificate of insurance will be issued annually to Cortland School District.
8. Cortland School District will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.

10. CAPCO Head Start will not make any alterations to the property without the prior approval of Cortland School District. The term "alterations" includes attachments (permanent or temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.
11. Cortland School District and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communications regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
12. This lease and service agreement shall be extended automatically for one year and from year to year thereafter, without further notice by either party upon the same terms and conditions, including rent. Either party may terminate this lease at any time upon giving either party a written notice sixty (60) days in advance of the termination of this lease.

Cortland City School District

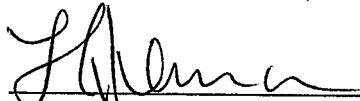


President of the Board

6-14-16


Date

**Cortland County Community Action
Program, Inc.**



CAPCO Executive Director

6/20/16

Date


CAPCO Head Start Director

6/20/16

Date

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1. CAPCO Head Start shall have the use of one classroom in the ~~Randall~~ Elementary School, 31 Randall Street, Cortland, New York 13045.
2. The designated space will be available for use by the CAPCO Head Start Program from August 1, 2016 through July 31, 2017. See #12. Hours of operation are 8:00 a .m. to 4:30 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Cortland School personnel.
5. CAPCO Head Start Program will pay Cortland \$3500.00 per year. Payable monthly at a rate of \$350.00 per month for a 10-month period.
6. CAPCO Head Start will utilize the Randall Elementary School phone system according to their regulations.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Cortland City School as an insured under the policy. A certificate of insurance will be issued annually to Cortland School District.
8. Cortland School District will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.

10. CAPCO Head Start will not make any alterations to the property without the prior approval of Cortland School District. The term alterations include attachments (permanent or temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.
11. Cortland School District and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communications regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
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Cortland City School District

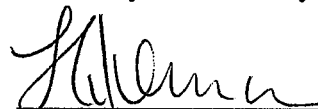


President of the Board

6-14-16

Date

Cortland County Community Action Program, Inc.



CAPCO Executive Director

6/20/16

Date



CAPCO Head Start Director

6/20/16

Date

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1. CAPCO Head Start shall have the use of one classroom in the ~~Smith~~ Elementary School, Wheeler Avenue, Cortland, New York 13045. The classroom number may change per the request of the school district.
2. The designated space will be available for use by the CAPCO Head Start Program from August 1, 2016 through July 31, 2017. See #12. Hours of operation are 8:00 a.m. to 4:30 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Cortland School personnel.
5. CAPCO Head Start Program will pay Cortland \$3500.00 per year. Payable monthly at a rate of \$350.00 per month for a 10-month period.
6. CAPCO Head Start will utilize the Smith Elementary School phone system according to their regulations.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Cortland City School as an insured under the policy. A certificate of insurance will be issued annually to Cortland School District.
8. Cortland School District will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of Cortland School District. The term alterations include attachments (permanent or

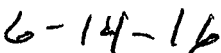
temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.

11. Cortland School District and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communications regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
12. This lease and service agreement shall be extended automatically for one year and from year to year thereafter, without further notice by either party upon the same terms and conditions, including rent. Either party may terminate this lease at any time upon giving either party a written notice sixty (60) days in advance of the termination of this lease.

Cortland City School District

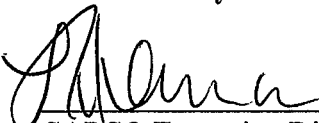


President of the Board



Date

Cortland County Community Action Program, Inc.



CAPCO Executive Director



Date



CAPCO Head Start Director



Date


**LEASE AND SERVICE AGREEMENT
MARATHON SCHOOL DISTRICT
Cortland County Community Action Program, Inc.**

This agreement entered in this 1st of September 2016, between Cortland County Community Action Program, Inc., 32 North Main Street, Cortland, NY 13045. (CAPCO) and the Marathon School District, 1 East Main Street, Marathon, NY 13803 is entered into for the purpose of defining the terms under which Marathon will provide to CAPCO Head Start user space and service in the Appleby Elementary School. This agreement is entered into for the purpose of defining the terms and conditions under which Marathon School District will lease to CAPCO Head Start the right to use and occupy on a regular basis a portion of the property.

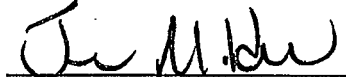
1. CAPCO Head Start shall have the use of classroom space at the Appleby Elementary School, PO Box 339, Marathon, NY 13803.
2. The designated space will be available for use by the CAPCO Head Start Program from August 22, 2016 through July 31, 2017. See #13. Hours of operation are from 7:30 a.m. to 4:00 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Appleby Elementary School personnel.
5. CAPCO Head Start Program will pay Appleby Elementary School \$3000.00 per year. Payable monthly at a rate of \$300.00 per month for a 10-month period.
6. CAPCO Head Start will install and assume all telephone costs.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Marathon Central School District as an insured under the policy. A certificate of insurance will be issued annually to Appleby Elementary School.
8. Appleby Elementary School will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.

9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of Marathon School District. The term "alterations" includes attachments (permanent or temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, and partitions.
11. Appleby Elementary School and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communication regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
12. This lease and service agreement shall be for one year, effective September 1, 2016 through July 31, 2017. Either party may terminate this lease at any time giving either party a written notice sixty (60) days in advance of the termination of this lease.

Marathon School District

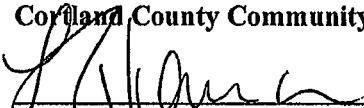

Superintendent

6/29/16
Date



Appleby Principal

7/6/16
Date

Coryland County Community Action Program, Inc.


CAPCO Executive Director

7/13/16
Date


CAPCO Head Start/Early Head Start Director

7/13/16
Date

**LEASE AND SERVICE AGREEMENT
HOMER SCHOOL DISTRICT
Cortland County Community Action Program, Inc.**


This agreement entered in this July 1, 2016, between Cortland County Community Action Program, Inc., 32 North Main Street, Cortland, New York 13045. (CAPCO) and the Homer School District, West Road, Homer, NY is entered into for the purpose of defining the terms under which Homer will provide to CAPCO Head Start, user space and service in the Homer Elementary School. This agreement is entered into for the purpose of defining the terms and conditions under which Homer School District will lease to CAPCO Head Start the right to use and occupy on a regular basis a portion of the property.

1. CAPCO Head Start shall have the use of two classrooms at the Homer Elementary School, South Main Street, Homer, New York 13077.
2. The designated space will be available for use by the CAPCO Head Start Program from August 22, 2016 - June 30, 2017. See #12. Hours of operation are 7:30 a.m. to 4:00 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the Homer Elementary School personnel.
5. CAPCO Head Start Program will pay Homer Elementary School \$9600.00 per year. Payable monthly at a rate of \$400.00 per month per classroom for a 12-month period.
6. CAPCO Head Start will install and assume all telephone costs.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Homer Central School District as an insured under the policy. A certificate of insurance will be issued annually to Homer Central School District. CAPCO shall hold harmless, defend and indemnify the Homer Central School District, its employees, agents, successors and/or assigns or transferees from any and all claims, actions, or other proceedings arising out of, chargeable to or from, caused by, or which are the result of work or actions of CAPCO, its employees and/or agents, successors or assigns.
8. Homer Elementary School will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of Homer School District. The term "alterations" includes attachments (permanent or

temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.

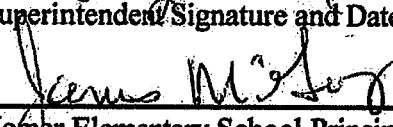
11. Homer Elementary School and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communication regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
12. This lease and service agreement shall be for one year, effective July 1, 2016 through June 30, 2017. CAPCO may terminate this lease at any time giving either party a written notice sixty (60) days in advance of the terminate of this lease. The Board of Education of the Homer Central School District, in its sole discretion and based upon the needs of the District in accordance with the laws of the State of New York, may terminate this lease upon shorter written notice and require removal. In the event of such removal, the District shall provide written notice as far in advance as reasonable and shall cooperate in CAPCO's efforts to locate other local space.

Homer School District



Superintendent Signature and Date

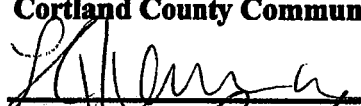
6-16-16



Homer Elementary School Principal and Date

6/16/16

Cortland County Community Action Program, Inc. (CAPCO Head Start)



CAPCO Executive Director and Date

6/20/16



CAPCO Head Start/Early Head Start Program Director and Date

6/20/16

LEASE AND SERVICE AGREEMENT
McGraw School District
Cortland County Community Action Program, Inc.

This agreement entered in this 1st of September of 2016, between Cortland County Community Action Program, Inc., 32 North Main Street, Cortland, New York 13045. (CAPCO) and the McGraw School District, West Academy Street, PO Box 556, McGraw, NY 13101, is entered into for the purpose of defining the terms under which McGraw will provide to CAPCO Head Start, user space and service in the McGraw School District. This agreement is entered into for the purpose of defining the terms and conditions under which McGraw will lease to CAPCO Head Start the right to use and occupy on a regular basis a portion of the property.

1. CAPCO Head Start shall have the use of one classroom in the McGraw Elementary School, West Academy Street, PO Box 556, McGraw, NY 13101.
2. This designated space will be available for use by the CAPCO Head Start Program from August 22, 2016 through July 31, 2017. See #13. Hours of operation are 7:30 a .m. to 4:00 p.m., Monday through Friday.
3. Should the CAPCO Head Start Program not be operating during the months of July and August, the program may still store classroom and office equipment/supplies in their allocated space.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the McGraw School personnel.
5. CAPCO Head Start Program will pay McGraw School District \$4800.00 per year. Payable monthly at a rate of \$400.00 per month per classroom, on the first of each month for a 12-month period.
6. CAPCO Head Start will utilize the McGraw Elementary School phone system according to their regulations, which will include reimbursement for long distance charges.
7. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming McGraw School District as an insured under the policy. A certificate of insurance will be issued annually to McGraw School District.
8. McGraw School District will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper towel supplies.
9. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property, other than the normal wear and usage which occurs with routine occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of McGraw School District. The term "alterations" includes attachments (permanent or

temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.

11. McGraw Elementary School will transport eligible 4-year old CAPCO Head Start children who live within the transportation boundaries or designated by the school district. All children living within the village are ineligible for transportation services.
12. McGraw School District and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communications regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
13. This lease and service agreement shall be extended automatically for one year and from year to year thereafter, without further notice by either party upon the same terms and conditions, including rent. Either party may terminate this lease at any time upon giving either party a written notice sixty (60) days in advance of the termination of this lease.
14. Upon termination, CAPCO Head Start shall restore the leased premises to its original condition less ordinary depreciation.

McGraw School District

Cecily Buerke
President of the Board

6/14/16
Date

Mary E. Curren
Superintendent, McGraw Schools

6/9/16
Date

Cortland County Community Action Program, Inc.

[Signature]
CAPCO Executive Director

6/20/16
Date

Brian R. [Signature]
CAPCO Head Start/Early Head Start Director

6/20/16
Date

LEASE, SERVICE, AND COLLABORATION AGREEMENT
YMCA OF CORTLAND
Cortland County Community Action Program, Inc.

This agreement entered in this 1st day of August 2016, between Cortland County Community Action Program, Inc., c/o Head Start Program, 32 North Main Street, Cortland, New York 13045. (CAPCO Head Start) and the YMCA, 22 Tompkins Street, Cortland, New York 13045 is entered into for the purpose of defining the terms under which the YMCA will provide to CAPCO Head Start user space and service in the YMCA facility located on Tompkins Street in the City of Cortland. This agreement is entered into for the purpose of defining the terms and conditions under which the YMCA will lease to CAPCO Head Start the right to use and occupy on a regular basis a portion of the property.

1. CAPCO Head Start shall have the use of the two basement classrooms and the kitchen facility as directly allocated space in the YMCA building, 22 Tompkins Street, Cortland, New York 13045. A third classroom will be provided to CAPCO Head Start, but with the understanding there will be no additional monies for this classroom. This classroom will be in-kind to the Head Start Program at \$1050.00/month for 12 months.
2. The designated space will be available for use by the CAPCO Head Start Program from August 1, 2016 through July 31, 2017. See #10. Hours of operation are from 8:00 a.m. to 4:00 p.m., Monday through Friday for Head Start staff serving children from 8:30 a.m. to 3:00 p.m..
3. The gym will be allocated space the Head Start Program will be able to use once a day for one hour per day according to both organizations schedules. In addition, the pool can be utilized by the Head Start Program once per week for one hour, per schedule arrangements.
4. The CAPCO Head Start Program will be able to use the designated area for evening activities as coordinated with the YMCA personnel. Some of the activities may include, but are not limited to Youth Mentoring, Family Fun Night, Parent Committee Meetings, Parent Education, Staff Meeting and Trainings, Recruitment Fair, and the Fatherhood Initiative. With these activities, planning will be completed to accommodate Head Start staff and families, as well as YMCA staff and families. (Flexible as available).
5. CAPCO Head Start Program will pay the YMCA \$25,200.00 per year. Payable monthly at a rate of \$2100.00 per month for a 12-month period lease cost.
6. CAPCO Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming YMCA as an insured under the policy. A certificate of insurance will be issued annually to the YMCA.
7. The YMCA will provide for the agreed upon space, adequate light, heat along with daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper supplies.

8. Furthermore, basic maintenance will be provided by the YMCA with the stipulation if Head Start needs further maintenance or janitorial duties provided, the programs will meet to determine further arrangements at a later date.
9. The YMCA will be responsible for routine maintenance of the premises occupied, subject to normal wear and tear. CAPCO Head Start agrees to be responsible for the repair of damage to the leased property (other than normal wear and tear which could be expected to occur under routine use) which occurs as a direct result of CAPCO Head Start's use and occupancy of the property.
10. CAPCO Head Start will not make any alterations to the property without the prior approval of the YMCA. The term "alterations" includes attachments (permanent or temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.
11. Head Start will need enough square footage (space) to accommodate 18 children in classroom 1, 20 children in classroom 2, and 19 children in classroom 3 on a daily basis. The square footage between both organizations will be determined at a later date upon day care licensing approval.
12. The YMCA and the CAPCO Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communication regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate services for the best interests of the respective programs and their participants.
13. Either party may terminate this lease at any time upon giving either party a written notice sixty (60) days in advance of the termination of this lease.

YMCA of Cortland County

David Hamilton
Executive Director

6/13/16
Date

MGML
Board President MARK G. MASLER

9/3/16
Date

**Cortland County Community
Action Program, Inc.**

[Signature]
CAPCO Executive Director

9/14/16
Date

[Signature]
CAPCO Head Start Director

9/7/16
Date

LEASE, SERVICE, AND COLLABORATION AGREEMENT

Elm Tree Realty, LLC

Cortland County Community Action Program, Inc.

This agreement entered into as of the 1st day of August 2016, between **Cortland County Community Action Program, Inc.**, c/o Head Start/Early Head Start Program, 32 North Main Street, Cortland, New York 13045 and **Elm Tree Realty LLC**, 3588 Pendleton Street, Ext., Cortland, NY 13045 ("Landlord") is entered into for the purpose of defining the terms under which Landlord will provide to CAPCO Head Start/Early Head Start user space and service in the facility located at 275 Route 13, Cortland, NY. This agreement is entered into for the purpose of defining the terms and conditions under which the Landlord will lease to CAPCO Head Start/Early Head Start the right to use and occupy on a regular basis the entire property.

1. CAPCO Head Start/Early Head Start shall have the use of the entire building which includes classroom space, meeting room space, and bathroom and kitchen facilities, directly allocated space in the facility located at 275 Route 13, Cortland, New York 13045.
2. The designated space will be available for use by the CAPCO Head Start/Early Head Start Programs from August 1, 2016 through July 31, 2021. See #10. Hours of operation are from 8:00 a.m. to 4:30 p.m., Monday through Friday for Head Start/Early Head Start staff serving children from 8:30 a.m. to 3:00 p.m.. Center program will operate September 2016 through August 2017.
3. The playground area will be allocated space behind the facility located at 275 Route 13, Cortland, NY 13045. This allocated space will be available for program use throughout the year.
4. The CAPCO Head Start/Early Head Start Programs will be able to use the designated area for evening activities. Some of the activities may include, but are not limited to Family Fun Night, Parent Action Group Meetings, Parent Education, Staff Meeting and Trainings, Recruitment Fair, and the Fatherhood activities. With these activities, planning will be completed to accommodate Head Start/Early Head Start staff and families.
5. CAPCO Head Start/Early Head Start Programs will pay Elm Tree Realty LLC \$17,400.00 per year for the lease term as base rental for the entire building which includes classroom space, meeting room space, and kitchen/bathrooms. The CAPCO Head Start/Early Head Start Programs will be responsible for all center utilities. The rent is payable in advance in equal monthly installments of \$1,450.00. ✓
6. CAPCO Head Start/Early Head Start will carry full liability and personal injury insurance coverage with \$1,000,000.00 limit naming Elm Tree Realty LLC an insured under the policy. A certificate of insurance will be issued annually to the landlord. ✓

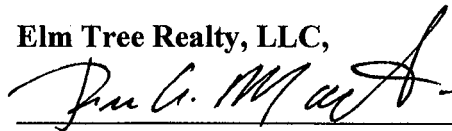
7. CAPCO Head Start/Early Head Start will provide for the agreed upon space daily custodial maintenance services: Sweeping, mopping, vacuuming of floors, bathrooms, trash removal, and replacing bathroom toilet paper supplies. CAPCO Head Start/Early Head Start will provide daily paper towels and anti-bacterial soap for this agreed upon space. Furthermore, basic driveway maintenance and lawn care will be provided by the Landlord with the stipulation if Head Start/Early Head Start needs further maintenance or janitorial duties provided, the programs will meet to determine further arrangements at a later date. Head Start/Early Head Start agrees to provide all snow plowing of parking lots, as well as salting of property. Dumpster cost and trash removal will be the responsibility of CAPCO Head Start/Early Head Start and will not be shared with the Landlord.
8. The Landlord will be responsible for routine maintenance of the premises occupied, subject to normal wear and tear. CAPCO Head Start/Early Head Start agrees to be responsible for the repair of damage to the leased property (other than normal wear and tear which could be expected to occur under routine use) which occurs as a direct result of CAPCO Head Start/Early Head Start's use and occupancy of the property.
9. If a chlorinated system for the water system is installed per the request of the County Health Department, it will be the responsibility of the HS/EHS staff to ensure daily readings are being kept and monitored. These readings and any monitoring needs to be kept on file in case these logs are needed for any reason or purpose. In addition, monthly water samples will be the responsibility of CAPCO HS/EHS.
10. CAPCO Head Start/Early Head Start will not make any alterations to the property without the prior approval of the landlord. The term alterations include attachments (permanent or temporary) to the floor, walls, and ceilings or the removal or placement of doors, ramps, or partitions.
11. The Landlord and the CAPCO Head Start/Early Head Start Program will work cooperatively with the necessary personnel to ensure open lines of communication regarding this lease and service agreement. In addition, and where necessary, both parties will coordinate janitorial and program services for the best interests of the respective programs and their participants.
12. In the event the funding sources (Federal, State of New York or local) discontinues or reduces the funding necessary for Tenant to continue to operate said facility or for any reason withdraws its certificate of approval for said facility, this lease will be terminated sixty (60) days after landlord receives written notice from tenant of such discontinuance of funding, without further liability to either party.

Tenant reserves for itself the right to make any alterations required for its particular purposes at its own cost and expense. Alterations necessary to ensure Tenant's compliance with all conditions of its operating certificate, or certificate of approval may be made without the consent of the Landlord. All other alterations that the Tenant may find necessary shall be made subject to Landlord's approval. Such approval shall not be unreasonably withheld, providing that the proposed changes are not in violation of rules, ordinances, or regulations of government authority and the board of fire underwriters.

13. Indemnification: Tenant shall indemnify Landlord and save her/him harmless from and against any and all claims, actions, damages, liability, and expense in connection with loss of life, personal injury and or damage to property arising from or out of any occurrence in, upon or at the premises, or the occupancy or use by Tenant of the premises

and common areas or any part thereof, or occasioned wholly or in part by any act or omission of Tenant, his agents or contractors, without fault on Landlord's part. Should Landlord be made a party to any litigation commenced by or against Tenant, without fault on Landlord's part then Tenant shall protect and hold Landlord harmless and shall pay all costs, expenses and reasonable attorney fees incurred or paid by Landlord in enforcing the covenants and agreement in this lease.

Elm Tree Realty, LLC,



Bruce A. Martins, Member

6/15/16

Date

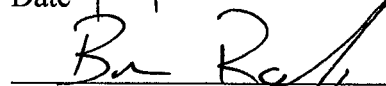
Cortland County Community Action Program, Inc.



CAPCO Executive Director

6/20/16

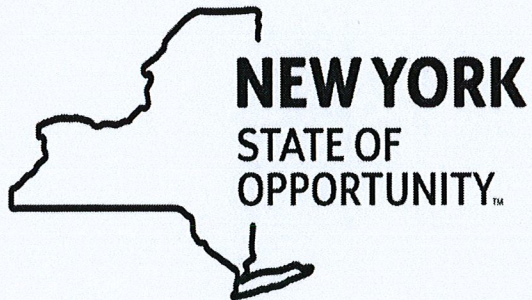
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CAPCO Head Start/Early Head Start Director

6/15/16

Date



Department of State

Division of Community Services

Community Services Block Grant Program

Report on the Triennial Review for Accountability and Compliance with Standards (TRACS)

Grantee Name: Cortland County Community Action Program, Inc.

On Site Dates: July 12, 2016 to July 13, 2016

Draft/Report Date: August 4, 2016

Recommendation: No recommendations at this time.

- Standard 7.9 - The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.

- Standard was scored as met and the following related indicator has not been met:
 - ROMA training was provided to appropriate staff.

Recommendation: While the standard is technically "met," because the last ROMA training provided to staff was in 2010, ROMA training should be provided regularly as soon as possible in order to address the indicator.

Grantee Comment:

Per your recommendation, the indicator for 7.9 was met – there are no consistent guidelines or details regarding frequency of ROMA training. The ROMA trainer (Eileen Harrington-Hall) works with each program director as workplans are being created and in completion of PPS and APR's to make sure staff are meeting ROMA requirements with plans, and reporting. Future plans include new training for appropriate staff re: the changes to ROMA New Gen, once those changes have been formalized.

DQS Response:

Click here to enter text.

- ◆ **Financial Operations and Oversight:** Cortland County Community Action Program, Inc. (CAPCO) fiscal staff provided the requested documentation in a well-organized manner that enhanced the review process. The agency follows policies and procedures detailed in a comprehensive Fiscal Policy & Procedure Manual. A review of CAPCO's last three (2012, 2013, 2014) independent audits reveals that CAPCO's current ratio has increased to 5.2 as of 12/31/2014. CAPCO has not accessed their line of credit in the past 12 months and all of the agency's accounts payable are current. The agency appears to be financially sound at the time of this review.

The agency met all 13 standards and 56 of 58 applicable indicators.

- ✧ **Standard 8.1 - The organization's annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 8.2 - All findings from the prior year's annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.**
 - ◆ This standard is **not applicable**, as there were no findings from the prior year's annual audit. It is scored as "met"
- ✧ **Standard 8.3 - The organization's auditor presents the audit to the governing board.**
 - ◆ Standard and related indicator has been met.
Recommendation: No recommendations at this time.

- ✧ **Standard 8.4 - The governing board formally receives and accepts the audit.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.5 - The organization has solicited bids for its audit within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.6 - The IRS Form 990 is completed annually and made available to the governing board for review.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.7 - The governing board receives financial reports at each regular meeting that include the following: Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and Balance sheet/statement of financial position.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.8 - All required filings and payments related to payroll withholdings are completed on time.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.9 - The governing board annually approves an organization-wide budget.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.10 - The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.**
 - ◆ Standard has been met.
 - The following related indicators have not been met:**
 - ◇ A physical inventory of equipment is taken and the results reconciled with the equipment records at least once every two years.
 - ◇ Assets are safeguarded by limiting account balances to Federally Insured Limits.
 - Recommendation:** The agency should take a physical inventory and reconcile the results with the equipment at least every two years.
 - The agency should make every effort to keep account balances beneath the FDIC limit. .**
- ✧ **Standard 8.11 - A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 8.12 - The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.**
 - ◆ Standard and all applicable indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.13 - The organization has a written policy in place for record retention and destruction.**

- ♦ Standard and related indicator has been met.

Recommendation: No recommendations at this time.

Grantee Comments:

Standard 8.10 – An updated physical inventory will be completed by 12/31/16.

CAPCO has been working with our banks to identify a way to keep account balances below the FDIC limits. We have met with representatives to review the option of using sweep accounts. The bank is preparing a proposal for this agreement. This will be completed as soon as possible, but no later than 12/31/16.

DOS Response:

Click here to enter text.

Board Development Committee September 20, 2016 – 8:00 a.m.

Meeting called to order at 8:05 a.m. Members present: Pat Snyder, Mary Ann Discenza, Rama Haidara.
Staff: Lindy Glennon

The committee discussed open seats for the Board. Currently, there are two. The HS/EHS Policy Council member will be elected at the October Policy Council Meeting. The Policy Council is forming this month with school starting back on September 7.

The seat vacated by Cheryl Michales is a Publicly Elected Official seat. The committee reviewed the application from Doug Bentley (see attached). Alane VonDonsel, Town Clerk for Virgil, and Cortland City School Board has agreed to ask Doug to represent her on the CAPCO Board. Ms. VonDonsel is completing her application now. Pat had previously spoken to Ms. Von Donsel about being on the CAPCO Board. After reviewing Doug's application and discussion, a motion was made by Pat Snyder to recommend Doug Bentley to the Board, 2nd Rama Haidara. Motion carried. Committee discussed making this recommendation to the Board at the September meeting for approval.

The committee discussed the open seat that will happen in January when Paula Currie's current term ends. Martha Bush has indicated interest in the CAPCO Board. The committee is interested in reaching out to her to see if she's interested at this time and would be available in January. Lindy will meet with Ms. Bush. If she indicates interest, Lindy will also contact Mayor Brian Tobin to see if he will agree to appoint Ms. Bush to represent him on the CAPCO Board. Paula currently represents Mayor Tobin. The committee also discussed approaching Adam McGivern again to see if he might be available now.

Committee discussed the Board Development Committee meeting time. Decided that the day works, 3rd Tuesday. But, changed the meeting time to 8:30 instead of 8:00. Next meeting will be Tuesday, Oct. 18 at 8:30 a.m.

Meeting adjourned at 8:45 a.m.

Resolution of the Board of Directors

Of

Cortland County Community

Action Program, Inc.

Resolution No. 16 - 40

WHEREAS, Alane VonDonsel, **Cortland City School Board**, Ms. VonDonsel has accepted an invitation to serve on the CAPCO Board of Directors as a public sector representative, and has selected Douglas Bentley Shelley to serve on her behalf;

Whereas, the Board of Directors has reviewed the recommendation letter from Alane VonDonsel and the recommendation for the Board Development Committee;

Be it resolved that on September 22, 2016 the Board of Directors appoints Douglas Bentley as a public sector representative to the CAPCO Board of Directors and accepts Ms. VonDonsel's representative Douglas Bentley to represent her on the board for the term September 2016-September 2021;

Be it further resolved that should Alane VonDonsel leave office before Douglas Bentley's term expires, Mr. Bentley's seat will be vacated at that time per Federal Statute.

PRESIDENT

DATE



Cortland County Community Action Program, Inc. (CAPCO)

32 North Main Street ☐ Cortland, NY 13045

Head Start ☐ Early Head Start ☐ Energy Services ☐ WIC ☐ Consumer Directed Personal Assistance ☐ Family Development

Board member Application

For Elected Public Official Representation

Name: __Douglas Bentley__ Date: __19 August 2016__

Home Address: __128 Groton Ave Cortland, NY 13045__ Home Phone: __607-753-8644__

Cell Phone: __607-423-8658__

Business Name: __Cortland Line Company__

Business Address: __3736 Kellogg Road Cortland, NY 13045__

Business Phone: __607-756-2815 ext 119__ Business Fax: _____

Business Fax: _____ E-mail address: __bentley.doug@gmail.com__

If you are representing an Elected Public Official, name of the Elected Public Official you will be representing: __Alane Van Donsel__

Office and District (if representing a specific District): __Cortland City School Board__

Term of Office __3 years – current term to July, 2018__ Preferred Communication:

__ Mail to Home __ Mail to Business __ E-mail __ Fax

Occupation (You May List More than One Occupation, Please List Primary Occupation First) __Engineer, Engineering Consultant__

Do you have any relationship professionally or personally that may impede your duties to serve CAPCO Board of Directors? No

Affiliations (Please List Civic, Fraternal, Professional, and Voluntary Agency Activities. List Any Offices Held and Provide Dates.)

__CACTC, Environmental Advisory Board, United Voices of Cortland__

I, __Douglas Bentley__ accept the invitation to serve on the Board of Directors and agree to adhere to the conditions of membership.

PP&E Committee

September 20, 2016

Meeting In attendance: Billie McNabb, Shawn Allen, Shelly Warnow. Staff: Lindy Glennon, Eden Harrington-Hall

Meeting to order at 12:05 p.m.

HS/EHS Annual Self-Assessment 2015-2016 Program Improvement Plans

Kristi Coye, HS/EHS Program Design & Management Coordinator presented the results of the Annual Self-Assessment as follows:

Planning and Sharing Information such as Strategic Plan, Community Assessment, Policies, etc.

- **Result Sited:** Planning and Sharing Information such as Strategic Plan, Community Assessment, Policies, etc. **Goal:** Instead of doing a program planning binder, HS/EHS will purchase flash drives and install all reports and policies in procedures for each center and office so staff will be able to have immediate access to the pertinent information including the Agency's Strategic Plan and Community Assessment. This will be updated annually.
- **Result Sited:** Not every center/classrooms has same system for filing contact notes. **Goal:** To utilize the newly purchased Child Plus Database to create better monitoring and tracking for the entire program.
- **Result Sited:** Need stronger collaborations (written) with agencies and other organizations. **Goal:** To increase and strengthen current collaborations, ensure they are written agreements, and create newer collaborations.
- **Result Sited:** Fatherhood participation and family engagement needs to be in the annual Community Assessment. **Goal:** To ensure what is being tracked (i.e. fatherhood and parent involvement) is discussed in the Annual Community Assessment. We are looking at doing a more comprehensive Needs Assessment to sure all required and pertinent information is in the report and is an agency wide assessment as opposed to an assessment which is more geared to HS/EHS. Also for the purpose of TRACS, ensure 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.
- **Result Sited:** To have a natural disaster/emergency preparedness plan developed. To have an integrated and efficient emergency preparedness plan for CAPCO Head Start/Early Head Start and share with staff and the community to have the knowledge to know what to do in case of any sort of emergency. Kristi and Greg attended a workshop on emergency preparedness at the National Conference and brought back valuable information. Kristi has also become a part of LEPC (Local Emergency Preparedness

Committee) which is sponsored through the Cortland County Department of Emergency Response & Communications.

HS/EHS are also looking at reviewing and updating on a quarterly basis. There being no further discussion, motion was made by Shelly Warnow, seconded by Billie McNabb to recommend the Self-Assessment to the full Board. Motion carried.

EHS Reports – July 2016

- Monthly Services Report – Attendance at 87% - must be at least 85%.
- Mental Health – No concerns noted.
- Special Needs – 9 Children receiving services.
- Health Services – 99% are up to date on their immunizations. Dental is 85% - we don't need to meet the 85% requirement that HS does.

There being no further discussion, Shawn Allen made motion to accept the EHS Reports; seconded by Shelly Warnow. Motion carried.

TRACS Review

We received the draft report which summarizes the Triennial Review for Accountability and Compliance with Standards (TRACS) in early August. We reviewed the draft report and provided comments and clarifications on some of the Standards and the Indicators. We met **57 of 58 (99%)** of the applicable National Organizational Standards, and met **216 of 223 (97%)** applicable indicators of excellence. However, there were a few indicators which we did meet, so we commented on those. According to the summary "It was determined that there were ***no significant findings or deficiencies*** that would require the agency to take immediate corrective action. Based on this assessment, *the agency has shown sufficient progress toward meeting the standards and indicators.*"

Under Standard 2.2 Community Engagement we currently do not have sufficient documentation that we did not meet the standard. ***"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."*** We currently do not have documentation to prove that we gathered information from faith-based organizations as part of the assessment. We have reached out to Rev. Janet Hansen to see if she had responded to the survey.

Unfortunately, only those agencies who meet all 58 Standards will be reported to the Federal Government, so we are hoping that Janet took part in the survey.

Updates

- Unfortunately we did not receive funding from the Healthy Families application. The good news is our application was approved, however, funding ran out. Lindy has asked for a de-briefing on our application and get more detail about where we ranked and if additional funding becomes available, what steps do we have to do.
- We have submitted a proposal to the M.M McDonald Foundation to fund a Development Director position. We are seeking 2 years salary for the position as part of our proposal.
- We were supposed to find out in April about our proposal from the Dormitory Authority in the amount of \$300,000 for the South Main project. We still did not hear anything as of mid August so Lindy reach out to the network and apparently there was a colleague who had received an e-mail that they had such an overwhelming response to the RFP that they requested an additional \$50K and were opening the Request for Proposals. Regardless if you applied initially, you would have to re-apply for funding
- Trudy Happel and Brandy Strauf just received their certification as Poverty Training Coaches through the Beegle Poverty Institute. The Poverty Institute is hands on two-day poverty institute for educators, health, justice, social service professionals, and community members who want to better understand poverty and to gain tools for making a difference. They will be presenting at our all staff day in October.
- We will be facilitating a Poverty Simulation which will focus on engaging elected public officials, private industry and other community members.

There being no further business, meeting adjourned at 1:00 p.m.

Resolution of the Board of Directors

of

Cortland County Community

Action Program, Inc.

Resolution No.16-41

WHEREAS, the Cortland County Community Action Program, Inc. PP&E Committee has reviewed the Head Start/Early Head Start Annual Self-Assessment 2015-2016 Program Improvement Plans based on Results.

WHEREAS, the Cortland County Community Action Program, Inc. Board of Directors has reviewed the Self-Assessment and accepts as presented.

IT IS HEREBY RESOLVED that on September 22, 2016 the Board of Directors adopts for acceptance the Head Start/Early Head Start Annual Self-Assessment 2015-2016 Program Improvement Plans.

President

Date

Cortland Community Action Head Start/Early Head Start
Annual Self-Assessment 2015-2016 Program Improvement Plans based on Results



Strengthening the Program

This is the final phase of the Self Assessment process and included Self Assessment Team Leaders and/or program functional area coordinators. The CAPCO Head Start/Early Head Start team completed the identification strengths within the program and developed preliminary improvement plans. During this phase, a more extensive/comprehensive plan was developed by:

- Σ Identifying available resources to support the program improvement plans.
- Σ Development of program improvement plans.
- Σ Development of Training and Technical Assistance Plan.
- Σ Development of plan to evaluate progress toward completing Program Improvement Plan.

Result Sited: Planning and Sharing Information such as Strategic Plan, Community Assessment, Policies, etc.			
Booklet: Management Systems; Program Governance			
Goal: Instead of doing a program planning binder, HS/EHS will purchase flash drives and install all reports and policies in procedures for each center and office so staff will be able to have immediate access to the pertinent information.			
Desired Outcome: To ensure all pertinent Agency, HS/EHS reports and policies and procedures are on one flash drive and updated annually.			
Action Step	Person(s) Responsible	Resources	Date(s)
Will ensure all policies and procedures are updated and emailed to Program Design & Management Coordinator.	Functional Area Coordinator	Policies and Procedures Performance Standards	October 2016
Program Design & Management Coordinator will meet with Agency staff to get all updated Agency reports such as Strategic Plan, Annual Report, etc.	Program Design & Management Coordinator, Executive Director, Assistant Director of CAPCO	Annual Reports	October 2016
To submit to all classrooms and offices the new flash drives with all pertinent downloads.	Program Design & Management Coordinator	Performance standards	October 2016

Result Sited: Not every center/classrooms has same system for filing contact notes.			
Booklet: Management Systems; Record Keeping and Reporting			
Goal: To utilize the newly purchased Child Plus Database to create better monitoring and tracking for the entire program.			
Desired Outcome: To have an efficient planning system which will improve the monthly reporting and monitoring.			
Action Step	Person(s) Responsible	Resources	Date(s)
To train all HS/EHS staff on how to use Child Plus and to demonstrate which part of the database they will be responsible to.	Family & Community Partnerships Coordinator	Child Plus Database	August 2016
To review how things are being tracked and whether there has been improvements how staff is reporting.	HS/EHS Director and Management Team	Child Plus Database Planning	January 2017
Create strengths and weaknesses to the reporting and monitoring system with staff utilizing Child Plus.	HS/EHS Director and Management Team	Child Plus Database Planning, Monitoring and Reporting	January 2017
Inform staff of areas to improve and communicate how the reporting system is working positively and negatively.	HS/EHS Director and Management Team	Child Plus Database Planning, Monitoring and Reporting	January 2017
To review again how the system is working and create procedures for the next program year as to the direction and responsibility of the program.	HS/EHS Director and Management Team	Child Plus Database Planning, Monitoring and Reporting	May 2017

Result Sited: Need stronger collaborations (written) with agencies and other organizations.			
Booklet: Child Development & Health Services: Prevention & Early Intervention			
Goal: To increase and strengthen current collaborations, ensure they are written agreements, and create newer collaborations.			
Desired Outcome: To improve and create stronger collaborations within the community.			
Action Step	Person(s) Responsible	Resources	Date(s)
To determine what we have written and what organizations we have collaborations with.	HS/EHS Director	Performance Standards Collaborations	September 2016
Create new collaborations with outside agencies and make sure they are agreed upon, signed, and monitored.	HS/EHS Director	Performance Standards Collaborations	September 2016
To ensure a collaborations binder is kept up to date and on file.	HS/EHS Director	Performance Standards Collaborations	October 2016
To monitor the written collaborations and ensure that the collaborations are being done by both signed parties	HS/EHS Director	Performance Standards Collaborations	Quarterly beginning in October 2016

Result Sited: Fatherhood participation and family engagement needs to be in the annual Community Assessment.			
Booklet: Family & Community Partnerships: Parent Involvement			
Goal: To ensure what is being tracked (i.e. fatherhood and parent involvement) is discussed in the Annual Community Assessment.			
Desired Outcome: To make ensure certain topics are always in the Community Assessment and to address the Agency Tracks in the Community Assessment to create an Agency Community Assessment.			
Action Step	Person(s) Responsible	Resources	Date(s)
To meet with the Executive Director in regard to the Agency Tracks and what information should be in the Community Assessment.	HS/EHS Program Design & Management Coordinator, Executive Director	Community Assessment Tracks	August 2016
Begin to develop a survey monkey for staff, board members, Policy Council, and families in regard to their input.	HS/EHS Program Design & Management Coordinator, Executive Director	Community Assessment Tracks	October 2016
Check Child Plus Database System to monitor and print off reports for fatherhood participation and family engagement.	HS/EHS Program Design & Management Coordinator and FS Coordinator.	Child Plus Monitoring	October 2016
Start new Community Assessment to ensure all required and pertinent information is in the Report.	HS/EHS Program Design & Management Coordinator	Community Assessment Tracks Child Plus	November and December 2016
Submit to Policy Council for review and approval.	HS/EHS Program Design & Management Coordinator	Community Assessment	January 2017

Result Sited: To have a natural disaster/emergency preparedness plan developed.			
Booklet: Child Development and Health Services: Mental Health			
Goal: To create an emergency preparedness plan for CAPCO Head Start/Early Head Start.			
Desired Outcome: To have an integrated and efficient emergency preparedness plan for CAPCO Head Start/Early Head Start and share with staff and the community to have the knowledge to know what to do in case of any sort of emergency.			
Action Step	Person(s) Responsible	Resources	Date(s)
To review and research how to develop an emergency preparedness plan with Agency Safety Committee.	HS/EHS Director and Management Team and Safety Committee	Performance Standards, Acelero, and Booz/Allen/Hamilton Guide to Create Plan	January 2016
To start gathering information to ensure all aspects of the plan are covered in house, as well as with the community.	HS/EHS Director and Management Team Safety Committee	Performance Standards, Acelero, and Booz/Allen/Hamilton Guide to Create Plan	April 2016
To have a final plan put together to review and approve by the Policy Council and Board.	HS/EHS Director and Management Team	Performance Standards, Acelero, and Booz/Allen/Hamilton Guide to Create Plan	May 2016
Update: Still an action step to finalize. The HR Director and Program Design & Management Coordinator attended the National Conference and went to this training and received materials to assist in this process.	HS/EHS Program Design & Management Coordinator & HR Director	National Conference 2016	May 2016
Update: Program Design & Management Coordinator met Board to discuss how	HS/EHS Program Design & Management Coordinator & HR Director	N/A	June 2016

they are going to finish this project			
To have a final plan put together to review and approve by the Policy Council and the Board.	HS/EHS Program Design & Management Coordinator & HR Director	N/A	October 2016

Policy Council Approval Date:

Board of Director's Approval Date:

Planning Review on Progress (HS/EHS Mangers/Assistants):

HEAD START/EARLY HEAD START PROGRAM OF CORTLAND COUNTY

...a service of the Cortland County

Community Action Program, Inc.

MONTHLY FAMILY SERVICES REPORT (EARLY HEAD START)

Employee Name: Trudy Happel Month: July 16

Center	Enrolled	Entered	Withdrew	Accepted (but not enrolled)	% of Daily Attendance	# of Home Visits	# of Over Income	# of Under 130%	# of Goals that have been formalized	# of Goals that have been achieved	# of Homeless Children
C'ville 2	7	7	0	0	90	0	0	0	5	3	0
Cosimos 1	7	7	0	0	87	0	0	2	2	2	0
Cosimos 2	8	8	0	0	91	2	0	0	5	3	0
Cosimos 3	8	8	0	0	72	0	0	0	3	0	0
South Main 1	7	7	0	0	88	1	0	0	4	3	0
South Main 2	8	8	0	0	92	0	0	0	2	0	0
Home Based 1	12	12	0	0	25 57	17	0	0	6	2	0
Home Based 2	12	12	0	0	9 46	20	0	0	6	4	0
TOTAL	69	69	0	0	87%	40	0	2	33	17	0

of Children on the Waiting List:

Expectant
Over Income
Under 130%
Under 100%

3
1
5

Children
Over Income
Under 130%
Under 100%

29
13
43

Comments: _____

HEAD START/ EARLY HEAD START PROGRAM OF CORTLAND COUNTY
...a service of the Cortland County
Community Action Program, Inc.

MONTHLY MENTAL HEALTH REPORT EHS

Employee Name: Katherine E. Shaw

Month: July 2016

	Behavior Concerns observed by Mental Health Consultant	Meeting with Classroom Staff Regarding Behavior Concerns	Referral to Mental Health Agency	Total # of Behavior Plans in Place	Behavior Plans Implemented this Month	# of Meetings with Family or HV		Curriculum
						Face to Face	Telephone	
Cortlandville	0	0	0	0	0	0	0	0
Cosimo I	0	0	0	0	0	0	0	0
Cosimo II	0	0	0	0	0	0	0	0
Cosimo III	0	0	0	0	0	0	0	0
South Main I	0	0	0	0	0	0	0	0
South Main II	0	0	0	0	0	0	0	0
Home Based I	0	0	0	0	0	0	0	0
Home Based II	0	0	0	0	0	0	0	0
TOTALS	0	0	0	0	0	0	0	0

HEAD START/ EARLY HEAD START PROGRAM OF CORTLAND COUNTY

...a service of the Cortland County

Community Action Program, Inc.

MONTHLY POLICY COUNCIL REPORT EHS

Special Needs

Employee Name: Bethann Fischer

Month: July 2016

	# of Children Receiving Services	# of Children Receiving more than one service	Speech	OT Fine Motor	PT Gross Motor	SEIT Special Ed Itinerant Teacher	Couns. Play Therapy	1;1 Aide	# of Evals	# of Children CPSE Mtg	# of Children Declassified	Refused Referral
Cortlandville	0	0	0	0	0	0	0	0	0	0	0	0
Cosimo I	1	1	1	0	1	1	0	0	0	0	0	0
Cosimo II	1	0	0	0	1	0	0	0	0	0	0	0
Cosimo III	1	1	1	0	0	1	0	0	1	0	0	0
South Main I	2	2	2	2	1	1	0	0	0	0	0	0
South Main II	3	2	2	1	1	1	0	0	0	0	0	0
Home Based I	0	0	0	0	0	0	0	0	0	0	0	0
Home Based II	1	1	1	1	0	1	1	0	0	0	1	0
TOTALS	9	7	7	4	4	5	1	0	1	0	1	0

Health Services EHS Policy Council Report

July 2016

Classroom	Current Phys	Current Imm	12 Mo Lead	24 Mo Lead		Dental Rcvd	F/U Need	F/U Start	F/U Comp	Refusals		Incidents
C'Ville 2	5	7	4	N/A		0	0	0	0	6		2
Cos 1	4	8	8	2		4	0	0	0	3		1
Cos 2	7	8	7	6		5	1	0	0	4		2
Cos 3	6	8	7	5		7	0	0	0	1		8
HB 1	6	12	7	5		3	0	0	0	7		0
HB 2	6	11	5	4		3	1	1	0	5		0
SM 1	5	7	4	7		7	0	0	0	0		0
SM 2	8	8	6	7		8	2	0	1	1		1
Totals	47	69	48	36		37	4	1	1	27		14
Total %	67%	99%				98%						

Comments

Injury/Incident: Classroom-8, Playground-5, Walk-1

Reasons For Refusals:

3 Refused Treatment, 16 No Dental Providers for Children under 2, 5 Appointments at a later date.
1 Insurance pending, 1 missed appointment, 1 other (custody transfer).



Department of State

Division of Community Services

Community Services Block Grant Program

Report on the Triennial Review for Accountability and Compliance with Standards (TRACS)

Grantee Name: Cortland County Community Action Program, Inc.

On Site Dates: July 12, 2016 to July 13, 2016

Draft/Report Date: August 4, 2016

General Summary

A comprehensive on-site assessment of **Cortland County Community Action Program, Inc.**, was carried out by the Department of State, Division of Community Services on **July 12-13, 2016**. The Triennial Review for Accountability and Compliance with Standards (TRACS) was designed by the State of New York Department of State, Division of Community Services (DOS-DCS) to comply with 42 U.S.C. 9901 et seq., §678B, as amended, which requires each state to conduct a full on-site review of each eligible entity at least once during each 3-year period as well as to assess compliance with the organizational standards put forth by the United States Department of Health and Human Services (HHS) in Community Services Block Grant (CSBG) Information Memorandum (IM) No. 138 (as published on January 26, 2015).

The Department of State found that **Cortland County Community Action Program, Inc.** met **57 of 58 (99%)** of the applicable National Organizational Standards, and met **216 of 223 (97%)** applicable indicators of excellence established by the State to evaluate overall compliance with the organizational standards and the additional state requirements applicable to the Community Services Block Grant program in the State of New York.

It was determined that there were **no significant findings or deficiencies** that would require the agency to take immediate corrective action. Based on this assessment, *the agency has shown sufficient progress toward meeting the standards and indicators*. The recommendations or next steps contained in this report are items that will be addressed during the course of normal operations. DOS will prepare a **Continuous Improvement Plan** listing recommendations for the unmet indicators. The DOS Program Analyst and Fiscal Representative will verify progress made by the agency in carrying out the recommendations in the plan during regularly scheduled on-site visits.

Summary by Section

Maximum Feasible Participation - *"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."* (HHS IM #138)

- ◆ **Consumer Input and Involvement:** The agency demonstrates consumer input and involvement by assessing community needs on a regular basis and ensuring involvement and participation on the agency's board of directors and other advisory groups. The 2015-16 Community Assessment Update included a survey tool to solicit input and feedback from the community, the results were compiled and analyzed with the PPE committee and formally adopted by both the Board of Directors and the Head Start Policy Council in early 2016.

In addition, the agency demonstrated that consumer feedback is sought, analyzed and shared with management and the board to ensure quality and continuous improvement of programs and services.

Overall, the documents provided for the review of Standards 1.1 through 1.3 and all related indicators provided sufficient information to satisfy the requirements.

The agency met all 3 standards and all 14 indicators.

- ✧ **Standard 1.1 - The organization demonstrates low-income individuals' participation in its activities.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 1.2 - The organization analyzes information collected directly from low-income individuals as part of the community assessment.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 1.3 - The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

Grantee Comments:

[Click here to enter text.](#)

DOS Response:

[Click here to enter text.](#)

- ◆ **Community Engagement:** The agency provided abundant documentation to demonstrate involvement with a number of partnerships, coalitions, and associations across the community, including other anti-poverty organizations. MOU's, coalition meeting agendas and minutes, partner newsletters indicating agency participation and membership lists were reviewed. While the 2015-16 Community Assessment Update included input from various community partners, the agency did not demonstrate that respondents to the survey represented all five sectors (community-based organizations, faith-based organizations, private sector, public sector, and educational institutions).

The agency made use of its website, social media, press releases and news outlets to share their annual report, agency accomplishments and events, and to raise awareness of programs and services. During this review meeting minutes, website and social media statistics, and recent newspapers articles were used to demonstrate agency activities.

Volunteer engagement was evidenced by timesheet documents for the Family Essentials Literacy Program, and is tracked on an agency wide basis. The agency also demonstrated participation of the low-income community in their volunteer program.

The agency met 3 of 4 standards and 15 of 18 indicators.

- ✧ **Standard 2.1 - The organization has documented or demonstrated partnership across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.**
 - ◆ Standard and following indicator have not been met.
 - ◇ Services and Activities demonstrate partnerships with other groups, including faith-based and religious organizations.

Recommendation: Reviewed documents demonstrating agency partnerships with Cortland Prevention Resources (MOU for FASD Screening and Intervention), McGraw Central School

District (press release for community schools initiative grant), Cortland County Coalition for Long Term Care (meeting agenda and minutes), Cortland Area Communities That Care (MOU for voluntary agreement on common goals and expectations), and Seven Valleys Health Coalition (Board of Directors minutes). Faith based/religious organizations do not appear to be represented as required to meet this standard. To meet this standard provide documentation of partnerships with faith based or religious organizations.

- ✧ **Standard 2.2 - The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.**

- ♦ Standard and the following related indicator have not been met:
 - ◇ A variety of stakeholders (community-based organizations, faith-based organizations, private sector, public sector, and educational institutions) provided input in the development of the needs assessment (**EACH GROUP MUST BE REPRESENTED TO MEET THE INDICATOR**).

Recommendation: Reviewed an email (dated 6/6/2016 from Coye to Glennon) which lists survey responses from (39) staff, (1) county legislator, (5) board members (1) Health Advisory Council Member and (2) Policy Council Members. Also reviewed the 2015-16 Community Assessment Update (pgs. 35-36) which provides an overview and analysis of the data collected from the respondents. However, there is no documentation to support that community-based organizations, faith-based organizations, private sector, public sector, and educational institutions responded to the survey. It is noted that five board members responded, however there is no way to verify each sector was represented. When conducting the needs assessment process, the agency should document survey respondents by affiliation with community-based organizations, faith-based organizations, private sector, public sector, and educational institutions. To meet this standard, provide documentation of each sector being represented in the needs assessment process.

- ✧ **Standard 2.3 - The organization communicates its activities and its results to the community.**

- ♦ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

- ✧ **Standard 2.4 - The organization documents the number of volunteers and hours mobilized in support of its activities.**

- ♦ Standard has been met.
The following related indicator has not been met:
 - ◇ Background checks are performed for volunteers working in programs serving children.
Recommendation: The agency may consider performing background checks on program volunteers, especially those working in programs serving children.

Grantee Comments:

Standard 2.1- Attached please find the written MOU indicating a long-standing partnership between CAPCO and Marathon Presbyterian Church.

Standard 2.2 – We know that each of the stakeholders groups were involved and provided input into the community assessment. But, because we did not ask them to identify their role in the survey process, we cannot provide written verification of that. This will change in the next round of

community assessment and participants will indicate roles by affiliation with community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

Standard 2.4 - The agency does do background checks for volunteers working in programs serving children. This only includes Head Start/Early Head Start and background checks are done. Volunteers working in other programs do not work directly with children, and volunteers are supervised by CAPCO staff).

DOS Response:

Click here to enter text.

- ◆ **Community Assessment:** The 2015-16 Community Assessment Update was adopted by the Board of Directors on Feb. 25, 2016 and includes the required quantitative and qualitative data components and analysis elements, including areas focused on gender, age, race and ethnicity. Further, the assessment included the input of the community and, at completion, was made available via the agency website and social media outlets.

The agency met all 5 standards and all 12 indicators.

- ✧ **Standard 3.1 - The organization conducted a community assessment and issued a report within the past 3 years.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 3.2 - As part of the community assessment, the organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).**
 - ◆ Standard and related indicator has been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 3.3 - The organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 3.4 - The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 3.5 - The governing board formally accepts the completed community assessment.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

Grantee Comments:

Click here to enter text.

DOS Response:

Click here to enter text.

Vision and Direction - *“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, 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.”* (HHS IM #138)

- ◆ **Organizational Leadership:** Section Four of the TRACS evaluates the agency's Vision and Direction with specific regard to Organizational Leadership. CAPCO's organizational leadership documentation was reviewed and found to be in compliance with all six standards. The CSBG work plan is consistent with both the needs assessment and the strategic plan. It is apparent that ROMA is used in all facets of agency planning and evaluation. Strategic objectives are incorporated into the work plan outcomes.

As evidenced by Program Planning and Evaluation Committee minutes and full board meeting minutes, the board plays an active role in planning and evaluating programs. The board receives regular program reports, periodic updates on the PPR, and reviews the strategic Plan annually. The agency has a well-defined succession plan, approved by the board, which covers long term and short term absences by the Executive Director and other key staff.

A comprehensive risk assessment was conducted of organization-wide functions. A complete report was submitted to the board for review and was approved by the board at the May 2016 board meeting.

The agency met all 6 standards and all 26 indicators.

- ✧ **Standard 4.1 - The governing board has reviewed the organization’s mission statement within the past 5 years and assured that: the mission addresses poverty; and the organization’s programs and services are in alignment with the mission.**
 - ◆ Standard and all related indicators have been met. A “Next Step” is included.
Recommendation: No recommendations at this time.
NEXT STEP- The review of the mission by the board was conducted exactly five years ago. Be sure to review it again in 2016 to continue to be in compliance.
- ✧ **Standard 4.2 - The organization’s Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 4.3 - The organization’s Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

- ✧ **Standard 4.4 - The governing board receives an annual update on the success of specific strategies included in the Community Action plan.**
 - ◆ Standard and related indicator has been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 4.5 - The organization has a written succession plan in place for the CEO/executive director, approved by the governing board, which contains procedures for covering an emergency/unplanned, short- term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 4.6 - An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

Grantee Comments:

[Click here to enter text.](#)

DOS Response:

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- ◆ **Board Governance:** Section Five reviews Vision and Direction with an emphasis on the various facets of board governance in a Community Action Agency. The agency is in compliance with all standards in this section. The agency's board files are reviewed on a quarterly basis during regular monitoring and are usually found to be in perfect order. It is no surprise that ballots for the selection of low-income representatives by low-income persons, public official letterhead, signed conflict of interest forms, and other required documentation are in each board file. A review of board documents demonstrated that the board is very active, both in committee and in full board meetings.

Bylaws are in compliance with the NYS NPCL. The bylaws were reviewed by an attorney in May 2015. Training on the NYS NPCL, organizational standards, and other board responsibilities was provided in the last few years. Program reports are provided to the board at each regular meeting. All board members signed acknowledgements that they had received a copy of the bylaws. Bylaws are also available on the board portal of the website. The board is in keeping with its bylaws with regard to the number of meetings and quorum.

The agency met all 9 standards and all 30 indicators.

- ✧ **Standard 5.1- The organization's governing board is structured in compliance with the CSBG Act: At least one third democratically-selected representatives of the low-income community; One-third local elected officials (or their representatives); and the remaining membership from major groups and interests in the community.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

- ✧ **Standard 5.2 - The organization's governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.3 - The organization's bylaws have been reviewed by an attorney within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.4 - The organization documents that each governing board member has received a copy of the bylaws within the past 2 years.**
 - ◆ Standard and related indicator has been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.5 - The organization's governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.6 - Each governing board member has signed a conflict of interest policy within the past 2 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.7 - The organization has a process to provide a structured orientation for governing board members within 6 months of being seated.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.8 - Governing board members have been provided with training on their duties and responsibilities within the past 2 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 5.9 - The organization's governing board receives programmatic reports at each regular board meeting.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

Grantee Comments:

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DOS Response:

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- ◆ **Strategic Planning:** CAPCO's Strategic Plan is in compliance with all of the standards and indicators in this assessment. The original planning period began in 2011 with the assistance of Meghan Johnston who facilitated input from staff, board members, customers, and community partners. Board meeting minutes, board committee minutes, and other meeting minutes document these activities over the course of the last five years. Further, the Strategic Planning Methodology statement specifically prescribes the steps and process, which include an evaluation procedure and efforts to include customer satisfaction data. Because the strategic plan goals are in the PPRs, the board reviews the outcomes quarterly.

The agency met all 5 standards and all 18 indicators.

- ✧ **Standard 6.1 - The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 6.2 - The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 6.3 - The approved strategic plan contains family, agency, and/or community goals.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 6.4 - Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 6.5 - The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.

Grantee Comments:

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DOS Response:

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Operations and Accountability - *“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.” “Community Action boards and staff maintain a high level of fiscal accountability.” “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.”
(HHS IM # 138)

- ◆ **Human Resource Management:** Overall, the agency has a strong policies and procedures in place for Human Resources. Employees have access to these policies and are provided training and regular feedback on their performance. Additionally, employees have the opportunity to provide feedback and suggestions to management through such means as surveys and focus groups. Orientations are provided to staff within 60 days of being hired and job specific training/orientation is also provided to employees.

The agency met all 9 standards and 32 of 33 indicators.

- ✧ **Standard 7.1 - The organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.2 - The organization makes available the employee handbook (or personnel policies in cases without a handbook) to all staff and notifies staff of any changes.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.3 - The organization has written job descriptions for all positions, which have been updated within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.4- The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.5 - The governing board reviews and approves CEO/executive director compensation within every calendar year.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.6 - The organization has a policy in place for regular written evaluation of employees by their supervisors.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.7 - The organization has a whistleblower policy that has been approved by the governing board.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.
- ✧ **Standard 7.8 - All staff participate in a new employee orientation within 60 days of hire.**
 - ◆ Standard and all related indicators have been met.

Recommendation: No recommendations at this time.

- ✧ **Standard 7.9 - The organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.**
 - ◆ Standard was scored as met and the following related indicator has not been met:
 - ◇ ROMA training was provided to appropriate staff.

Recommendation: While the standard is technically “met” because the last ROMA training provided to staff was in 2010, ROMA training should be provided to staff as soon as possible in order to address the indicator.

Grantee Comments:

Per your recommendation, the indicator for 7.9 was met – there are no current guidelines or details regarding frequency of ROMA training. The ROMA trainer (Eden Harrington-Hall) works with each program director as workplans are being created and in completion of PPR’s and APR’s to make sure staff are meeting ROMA requirements with planning and reporting. Future plans include new training for appropriate staff re: the changes to ROMA Next Gen, once those changes have been formalized.

DOS Response:

[Click here to enter text.](#)

- ◆ **Financial Operations and Oversight:** Cortland County Community Action Program, Inc. (CAPCO) fiscal staff provided the requested documentation in a well-organized manner that enhanced the review process. The agency follows policies and procedures detailed in a comprehensive Fiscal Policy & Procedure Manual. A review of CAPCO’s last three (2012, 2013, 2014) independent audits reveals that CAPCO’s current ratio has increased to 5.2 as of 12/31/2014. CAPCO has not accessed their line of credit in the past 12 months and all of the agency’s accounts payable are current. The agency appears to be financially sound at the time of this review.

The agency met all 13 standards and 56 of 58 applicable indicators.

- ✧ **Standard 8.1 - The organization’s annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 8.2 - All findings from the prior year’s annual audit have been assessed by the organization and addressed where the governing board has deemed it appropriate.**
 - ◆ This standard is **not applicable**, as there were no findings from the prior year’s annual audit. It is scored as “met”
- ✧ **Standard 8.3 - The organization’s auditor presents the audit to the governing board.**
 - ◆ Standard and related indicator has been met.
Recommendation: No recommendations at this time.

- ✧ **Standard 8.4 - The governing board formally receives and accepts the audit.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.5 - The organization has solicited bids for its audit within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.6 - The IRS Form 990 is completed annually and made available to the governing board for review.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.7 - The governing board receives financial reports at each regular meeting that include the following: Organization-wide report on revenue and expenditures that compares budget to actual, categorized by program; and Balance sheet/statement of financial position.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.8 - All required filings and payments related to payroll withholdings are completed on time.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.9 - The governing board annually approves an organization-wide budget.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.10 - The fiscal policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.**
 - ◆ Standard has been met.
 - The following related indicators have not been met:
 - ◇ A physical inventory of equipment is taken and the results reconciled with the equipment records at least once every two years.
 - ◇ Assets are safeguarded by limiting account balances to Federally Insured Limits.
 - Recommendation:** The agency should take a physical inventory and reconcile the results with the equipment at least every two years.
 - The agency should make every effort to keep account balances beneath the FDIC limit. .

- ✧ **Standard 8.11 - A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.**
 - ◆ Standard and all related indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.12 - The organization documents how it allocates shared costs through an indirect cost rate or through a written cost allocation plan.**
 - ◆ Standard and all applicable indicators have been met.
 - Recommendation:** No recommendations at this time.

- ✧ **Standard 8.13 - The organization has a written policy in place for record retention and destruction.**
 - ◆ Standard and related indicator has been met.
Recommendation: No recommendations at this time.

Grantee Comments:

Standard 8.10 – An updated physical inventory will be completed by 12/31/16.

CAPCO has been working with our banks to identify a way to keep account balances below the FDIC limits. We have met with representatives to review the option of using sweep accounts. The bank is preparing a proposal for this agreement. This will be completed as soon as possible, but no later than 12/31/16.

DOS Response:

Click here to enter text.

- ◆ **Data and Analysis:** The agency has a system in place for intake, tracking, and reporting client data, demographics, and outcomes. Additionally, the board is provided with data and board members provide analysis and feedback on outcome data and program data.

The agency met all 4 standards and 13 of 14 indicators.

- ✧ **Standard 9.1 - The organization has a system or systems in place to track and report client demographics and services customers receive.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 9.2 - The organization has a system or systems in place to track family, agency, and/or community outcomes.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 9.3 - The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.**
 - ◆ Standard and all related indicators have been met.
Recommendation: No recommendations at this time.
- ✧ **Standard 9.4 - The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization- wide outcomes.**
 - ◆ Standard has been met.
The following related indicators have not been met:
 - ◇ The APR was submitted on time (by November 1st).

Recommendation: DOS e-mail response notes the report was received on Nov 2, 2015. To meet this indicator, please submit the 2016 APR by the official due date.

Grantee Comments:

The following is the e-mail regarding the due date of the APR. We complied with the due date, so the related indicator was met. I have included the e-mail from DOS indicating that the APR was successfully submitted on November 2, 2015.

From: dos.sm.DCS.InetInfo

Sent: Monday, October 19, 2015 10:21 AM

To: 'Eden Harrington-Hall'; dos.sm.DCS.InetInfo

Subject: RE: APR Access

Here is the email sent to the executive director on October 1st.

*****DATE DUE: NOVEMBER 2, 2015*****

DEADLINE: The complete and accurate APR must be submitted by November 2, 2015.

DOS Response:

Click here to enter text.

TRACS Scoring Sheet

Standards	Total # of National Standards	Total # of Applicable National Standards	# Met	% Met	Total # of Indicators	Total # of Applicable Indicators	# Met	% Met
Maximum Feasible Participation								
o Consumer Input and Involvement	3	3	3	99%	At least 9 (up to 14 based on 1.2 & 1.3)	14	14	97%
o Community Engagement	3 or 4 (Based on 2.4)	4	3		At least 11 (up to 19 based on 2.2 & 2.4)	18	15	
o Community Assessment	5	5	5		At least 6 (up to 12 based on 3.2, 3.3 and 3.4)	12	12	
Vision and Direction								
o Organizational Leadership	6	6	6		26	26	26	
o Board Governance	9	9	9		30	30	30	
o Strategic Planning	5	5	5		At least 13 (up to 18 based on 6.2 & 6.3)	18	18	
Operations and Accountability								
o Human Resource Management	9	9	9		33	33	32	
o Financial Operations and Oversight	13	13	13		At least 60 (up to 63 based on 8.12)	58	56	
o Data and Analysis	4	4	4		At least 12 (up to 14 based on 9.4)	14	13	
Total	57 or 58	58	57	99%	200-229	223	216	97%

Overall Compliance Level with National Standards: 57 of 58 (99% met)

Overall Compliance Level with State Established Indicators of Excellence: 216 of 223 (97%)

A Continuous Improvement Plan will be created by DOS to track progress on unmet Standards and unmet Indicators.

Conclusion and Required Action

Following the triennial assessment process, if the State finds an eligible entity is not meeting an indicator, standard or set of indicators or standards, the State's response will depend on the circumstances.

In cases where the eligible entity may be able to meet an unmet indicator in a reasonable timeframe, DOS will prepare a Continuous Improvement Plan listing recommendations for the unmet indicators. The DOS Program Analyst and Fiscal Representative will verify progress made by the agency in carrying out the recommendations in the plan during regularly scheduled on-site visits.

In cases where the eligible entity may be able to meet an unmet standard in a reasonable time frame contingent on some targeted technical assistance, the State and entity may develop a technical assistance plan to target training and technical assistance resources and outline a time frame for the entity to meet the standard(s).

If appropriate, the State may initiate action in accordance with section 678C of the CSBG Act (42 U.S.C. § 9915), including issuance of a Notice of Deficiency and the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress.

In the event that, based on its assessments of the eligible entity, the State is confident that the eligible entity is moving toward meeting standards, under a technical assistance plan, QIP, or other oversight mechanism, and no ongoing significant deficiencies or material weaknesses have been noted, the State will make its best effort to continue to constructively engage the eligible entity.

The failure of an eligible entity to meet multiple standards, or in cases where one or more serious deficiencies (including but not limited to, contractual non-compliance, financial irresponsibility, failure to adequately provide services, conversion, fraud, corruption or abuse) may reflect deeper organizational challenges and risk. In those cases, a State must determine whether it may be necessary to take additional actions, including initiating action to reduce or terminate funding, in accordance with section 678C of the CSBG Act (42 U.S.C. § 9915; see also, CSBG IM 116, "Corrective Action, Termination, or Reduction of Funding," issued May 1, 2012).

Based on the foregoing assessment, **Cortland County Community Action Program, Inc.**, has met 57 of 58 applicable National Standards. The agency has also met 216 of 223 applicable indicators of excellence established by the State to evaluate compliance with the national organizational standards and State requirements applicable to the Community Services Block Grant program in the State of New York. DOS will create a Continuous Improvement Plan based on the recommendations associated with the unmet indicators. Progress on this plan will be monitored during routine on-site visits.

Thank you for your cooperation, dedication and ongoing efforts to provide vital and life changing services to low-income individuals and families within Cortland County.

Highlights for August/September include:

- We received our TRACS draft report from the Department of State – we were very happy to learn that we met 57 of the 58 National Organization Standards and 216 of 223 Indicators of Excellence. The Standard we did not meet was only because we couldn't produce written verification of who responded to the survey for the community assessment. We have responded to the DOS regarding the indicators with plans for how to correct. Again, thank you to the Board for all of your work and support in assisting us in the processes to be ready for that review.
- We were very pleased to receive a \$24,500 grant from the Department of State CSBG for back to school support for families. MANY thanks to Brandy, Eden and Martha for turning that contract package around and to Brandy for planning for the expenditures. We will have a full report in October, but, we have been able to help hundreds of children and families with back to school supplies, personal care items, clothes, shoes, haircuts, athletic equipment and musical instruments.
- We submitted a proposal to the JM McDonald Foundation for funding for a Development Director. We requested funding for salary for a 2 year start up period.
- We are starting the planning for National Philanthropy Day and Day of Giving – both in November. These are 2 opportunities, one local and one with National support to try and increase local donations to support the work of CAPCO in our community. We will be communicating these plans with you and hope that Board members will help us promote these opportunities.
- Unfortunately, we were not funded for the Healthy Families grant. We received notification from OCFS that our proposal was accepted, but not funded as they did not have sufficient funds. The letter indicated that when funds were available, the proposal met criteria for funding. We have requested a debriefing meeting for more feedback and to clarify the likelihood for funding. \
- CAPCO sponsored a rest stop on the Bon Ton Roulet on July 29. Thank you to those that donated food and supplies for this event. We had a larger number than expected group through our rest stop. We plan to do this again next year.
- On Friday, Aug. 5, Trax Pub and Grill at Hope Lake Lodge sponsored an event to benefit CAPCO. 10% of the sales from that day/evening were donated to CAPCO. Thanks to Steve Romer for providing musical entertainment. Thank you to all that came out that evening to support CAPCO.

- CAPCO is sponsoring a training on Sept. 23 with support from the NYS DOS and NYS Community Action Angels. The training is Disaster Preparedness for Children. It will help us focus on the special needs of children in our community during a time of disaster.
- CAPCO is facilitating a Poverty Simulation at SUNY Cortland on Sept. 26. The focus is on our publicly elected officials, business leaders and others in the community to start a dialogue about poverty in Cortland County and how we can respond. There will be a deliberative dialogue event on Tuesday, Oct. 11 as a next step.
- The Fiscal Staff (Melinda, Christine and Martha), HR (Greg) and I attended the NYSCAA HR/Fiscal/Leadership Conference Sept. 15-16. It was a good opportunity to learn about things that are priorities in fiscal and HR right now. It was also a good opportunity to network with other HS/Fiscal professionals in Community Action Agencies in New York.

Kirsten Parker
WIC Program Report
September 16, 2016

- We hosted a WIC training for the Central New York WIC region on August 29th at Greek Peak. Janice, our Breastfeeding Coordinator was one the presenters. All of the evaluations were very positive.
- We have finished our first year of the new Local Agency Compliance and Self-Assessment Process. Our goals and the progress towards them were as follows:

Goal	Progress	New Goal
Reduce the % of participants with high prenatal weight gain from 52.62% to 50%	Achieved-currently 48%	Further reduce the percentage to 45%
Increase the check redemption rate from 76.84% to 80%	Partially achieved-currently 77.36%	
Increase child participation rate from 52.99% to 54%	Partially achieved-currently averaging 51.5%. It's not all bad news though, the number of children actually increased.	Increase the child participation rate from 51.5% to 54%.
		Increase the percentage of fully breastfed infants at 6 months from 18.8% to 20%

- We are working on closing out this year's budget. Also I have been instructed to substantially increase the wages of the Enhanced Peer Counselors. The State has promised additional funding to support the increases.

Family Development

September

- Received CSBG Back to School Initiative funding to help send income eligible kids back to school.
- 169 kids received back to school backpacks and supplies during the giveaway August 30 and 31.
- We are currently helping income eligible families with clothes, shoes, personal care items and extracurricular activity needs.
- Tyler and Laurie have begun signing families up for the Snack Pack Program.
- Laurie will be running the Snack Pack Program for Marathon and Cincinnatus Schools out of the Marathon Success Center and Homer, McGraw, Randall and Barry will run out of the Main Office.
- The annual Coat Giveaway has been scheduled for October 29. We are currently collecting coats and winter gear.
- Tyler's term of service for Americorps is ending October 21. We are looking at a shared health and nutrition Americorps position with Head Start/Early Head Start for next year.
- Brandy attended a leadership training and management retreat in the months of August and September.



Energy Services Directors Report

August / September 2016

Weatherization Works

- WAP 16.17 - 8 units completed. I had one crew worker out on disability, but production is well ahead of schedule.
 - Received the HCR Annual evaluation for 2015 contract –score was 92/100.
- EmPower NY- 5 - HP's completed and 7 – ER completed. Honeywell has assigned us a new field representative after about 10 years. New contract has been signed and submitted.
- AO Smith – 2 hot water tanks given out.
- HEAP- The cooling program for HEAP has ended and we were able to complete 11 units. We will participate in the Clean and Tune program this year which starts 8/1/16 thru 11/4/16. Our heating tech, Jeremy Devereese will be cleaning and tuning heating systems upon receiving referrals from the HEAP department. We will also participate in the Repair/Replacement heating program which has not begun yet.
 - Clean and Tunes- 6 units completed.
- Energy Savers- 1 unit completed. Will start doing Energy Audits (approx. 10) for the City of Cortland HOME program thru Thoma Development. We are also applying to a RFP to do Energy Audits for the City of Cortland's 2015-2016 CDBG Program.
- Training-
- Meetings- Attended the Sept. PAC Meeting in Syracuse on 9/14/16.
- Other-
 - Applying for the 2016 – RFP for RESTORE (Residential Emergency Services to Offer (HOME) Repairs to the Elderly. This provides funds for

the cost of emergency repairs to eliminate conditions in homes that pose a threat to the life, health, or safety to low-income elderly homeowners who cannot afford to make needed repairs in a timely fashion. We have had this grant in the past and feel it is essential for our community to apply again. The grant is for \$75,000 and is due 9/28/16.

Monthly Board Report

From: Brian Rozewski, Director

Month: September 2016

I.Enrollment

A. Fully Enrolled; Head Start with 200 and Early Head Start with 72.

II.Center/Office Updates/Policy Council

A. All Centers up and running with the exception of Elm Tree: Still waiting on water approvals through the health department.

B. Approved fiscal and management reports for July 2016.

III.Old Business

A. Discussed with Policy Council all of the center and home based updates.

IV.New Business

A. Talked with Policy Council to let them know the membership has gone from 3 years to 5 years with the revised performance standards.

B. Discussed with the new Council and how the ballots and information will be given at the PAG meetings in September.

V.Executive Session

A. Had numerous new hires to be approved by the Executive Session of Policy Council.

CDPAP

September 2016

- Current Caseload is 71.
 - 29 Fidelis - \$18.50 Reimbursement
 - 8 ICircle - \$17.73 Reimbursement
 - 5 VNA - \$17.73 Reimbursement
 - 29 Medicaid - \$15.97 Reimbursement – of those 29 – 13 are at the Enhanced rate - \$17.06 Reimbursement. I expect at least one more will qualify for the Enhanced rate. We also have at least two more referrals – all are Fidelis.
- Last week was very tough. In less than a week three consumers passed away. Although they all lived a rich and rewarding life I feel for their families and the aides who are now unemployed. I'm trying my best to find other Consumers for them to work for.



HUMAN RESOURCES REPORT SEPTEMBER 2016

HR Director: Greg Richards

HR Happenings:

- **2016-2017 Medical/Dental Insurance Open Enrollment:** CAPCO's new Health and Dental Insurance Plan Year began on 9/1/2016. CAPCO's plan year runs from 9/1/2016-8/31/2017 (non-calendar year). As previously communicated in the July 2016 HR Board Report, Excellus BlueCross BlueShield did not offer our employer group the Employee and One option as a coverage tier on the Medical side (Employee and One remained on the Dental coverage). CAPCO was able to offer 3 Medical Plans (same plans offered in the 2015-2016 plan year) and the same 2 Dental Plans. Due to the change in Employee and One option, we had navigators for the NYSoHealth exchange as well as a Fidelis representative present at our Open Enrollment meetings to present to our employees alternative options that may be available to them, if they qualify. Following open enrollment, we had the following health insurance enrollments given the elimination the Employee and One tier:
 - 9 "Employee + One" changed to "Family"
 - 6 "Employee + One" changed to "Single"
 - 2 "Employee + One" changed to "Waiver"
- CAPCO insured 58 employees in August (Plan Year 2015-2016), and 56 in September (Plan Year 2016-2017). The monthly bill decreased from \$53,450.80 to \$49,827.28, a decrease of \$3,623.52 per month, or \$43,482.24 annually. Of the \$42,482.24 savings in premiums paid to Excellus, we calculated CAPCO's savings to be \$37,865.40 annually or \$3,155.45 per month.
- **Head Start Return to Work for 2016-2017 Program Year:** HR has assisted the Head Start management team in the placements and return of the Head Start Program Year employees from the 2016-2017 Program year. During the transition from the 2015-2016 Program Year to the 2016-2017 Program Year, the CAPCO Head Start Program had 8 separations and 9 new hires. Of the new hires, 1 is in the HS Family Services functional area, 1 in Health/Nutrition, and 7 in Education. Human Resources has been an integral part of the onboarding process for these new hires and collaborating extensively with the Head Start/Early Head Start Director and functional area coordinators as well as the Fiscal team to ensure a smooth transition of new hires and the start of the new Program Year.

- **2016 Fall All-Staff Day Planning:** HR is in the midst of working with the Executive Director and the CAPCO Management team to plan our 2016 Fall All-Staff Day. The date of the Fall All Staff Day will be **Friday, 10/7/2016**. With the Head Start rental of the new Elm Tree facility, we are tentatively planning to hold the training day at the Elm Tree facility (pending any foreseeable delays in the maintenance currently being done there). The Cortland Grange meeting space has also been reserved as a back-up plan if need be. We have developed a tentative schedule for the day that highlights the training initiatives and updates that we have prioritized for all CAPCO staff in attendance:
 - 8-8:30am: Check-In and Breakfast
 - 8:30-9:00am: Program Updates (10 minutes each)
 - 9:30-9:45am: United Way presentation and pledges
 - 10:00-10:30am: Employee Assistance Program (EAP) overview
 - 10:30am-12:00pm: Mandated Reporter Training
 - 12:00-12:45pm: Lunch
 - 12:45-1:00pm: Mutual of America (401k) presentation
 - 1:00-1:15pm: Wellness Challenge presentation
 - 1:30-2:30pm: Poverty Coaching
 - 2:30-3:30pm: Happiness Project
 - 3:30-4:00pm: closing remarks and gift distribution

- **2016 NYSCAA HR/Fiscal Conference:** Human Resources, Fiscal, and the Executive Director attended the New York State Community Action Association (NYSCAA) HR/Fiscal Conference. At the conference, we were able to partake in the keynote presentation of Gwen Webber who spoke about the value of trust in an organization. Gwen focused the basis of her presentation on Stephen Covey's book *The Speed of Trust*. This was particularly intriguing as the CAPCO management team completed reading this book in early September. For the "HR Track" of the conference, HR attended *HR Hot Topics* to gain insights on new and emerging labor laws, not the least of which includes the FLSA (Fair Labor Standards Act) new standards and salary thresholds for exempt positions vs. non-exempt positions. HR also attended *OSHA Safety in the Workplace, Retirement Plans: Selection, Implementation & Management*, as well as *Risk Assessment Strategies for Your CAA*. HR will be meeting with the Executive Director to go over insights gained from the conference and develop a plan for any initiatives that may need to be taken as a result from takeaways from the conference.
 - **New FLSA Standards:** effective December 1, 2016, the new federal guidelines for an employee to remain exempt from overtime regulations include the new salary threshold of \$47, 476 per year (\$913 per week). The

duties test remains the same with only the salary amount changing. Previously, the federal guidelines were \$455 per week, \$23, 600 per year and the NYS guidelines were \$675 per week, \$35,100 per year. This significant increase comes from a Presidential Executive Order. Currently, CAPCO has 12 positions categorized as exempt. HR is working with the Executive Director and Program Directors to identify who in these positions is below the threshold and make a plan for either raising the salaries or transitioning to non-exempt. We are in the beginning stages of looking at this and the Fiscal office is also an integral part of this process. Once we have a plan in place, we will communicate this with our Board of Directors for input and feedback.

- **NYSCAA Emerging Leaders:** I was a participant in the NYSCAA Emerging Leaders Institute (ELI) for 2016. On September 14, 2016, I completed my last ELI session and have positively completed my participation in the program. I had the opportunity to hear many insightful presentation on Community Action and leadership strategies as well as network with many other new leaders and talk about our similar Agency struggles. This networking will greatly help our Agency to collaborate with other Agencies to help deal with the wave of changes our sector is dealing with.