

COMMUNITY ACTION PARTNERSHIP of KERN
BOARD OF DIRECTORS
AUDIT & PENSION COMMITTEE MEETING
5005 Business Park North
August 4, 2016
12:00 p.m.

AGENDA

1. **Call to Order**

2. **Roll Call**

Craig Henderson
Yolanda Ochoa

Tony Martinez
Charlie Rodriguez

Mike Maggard

3. **Approval of Agenda**

4. **Public Forum:** *(The public may address the Committee on items not on the agenda. Speakers are limited to 3 minutes. If more than one person wishes to address the same topic, the total group time for the topic will be 10 minutes. Please state your name before making your presentation.)*

5. **New Business**

- a. Update on Pension Report by Mutual of America – Michele Nowell, Director of Human Resources – ***Info Item (p. 1-2)***
- b. March 28, 2016: CSBG Close-Out Report from the Department of Community Services and Development for Contract# 15F-2015 – Ralph Martinez, Director of Community Development – ***Info Item (p. 3)***
- c. May 10, 2016: Annual Administrative Review from First 5 Kern for East Kern Family Resource Center – Carmen Segovia, Director of Health & Nutrition – ***Info Item (p. 4-5)***
- d. May 31, 2016: 2016 Desk Review Report C-16-019 from the Department of Community Services and Development for Contract# 16F-5015 and 15F-2415 – Ralph Martinez, Director of Community Development – ***Info Item (p. 6-9)***
- e. June 17, 2016: 2014-15 Fiscal Year Single Audit Report Review from the California Department of Public Health – Chris Anami, Director of Finance – ***Info Item (p. 10-12)***
- f. June 17, 2016: Annual Quality Review Site Visit from the County of Kern Mental Health Department for the HIV Program – Carmen Segovia, Director of Health and Nutrition – ***Info Item (p. 13)***
- g. June 21, 2016: Conclusion of FY 2015-16 Enhanced Monitoring Review from the County of Kern Mental Health Department for Agreement No. 461-2015 – Carmen Segovia, Director of Health and Nutrition - ***Info Item (p. 14)***

Community Action Partnership of Kern
Audit & Pension Committee Meeting Agenda
August 4, 2016
Page 2

- h. June 22, 2016: 2015-16 Program Self-Evaluation from the California Department of Education – Susana Magana, MCAP Manager – ***Info Item (p. 15)***
- i. Summary of Findings for Fiscal Year 2014-2015 from the Department of Education – Yolanda Gonzales, Director of Head Start/State Child Development – ***Info Item (p. 16-22)***

6. **Committee Member Comments**

7. **Next Scheduled Meeting**

Audit Committee Meeting
Thursday, November 3, 2016
12:00 p.m.
5005 Business Park North
Bakersfield, California 93309

8. **Adjournment**

This is to certify that this Agenda notice was posted in the lobby of the CAPK Administrative Office at 5005 Business Park North, Bakersfield, and online at www.capk.org by 12:00pm on August 1, 2016. Amanda Norman, Assistant to the Executive Director.

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: JUN 23 2016

COMMUNITY ACTION PARTNERSHIP OF
KERK
5005 BUSINESS PARK N
BAKERSFIELD, CA 93309

Employer Identification Number:
95-2402760
DLN:
17007053087016
Person to Contact:
SHERRY A SMITH-SCHNICKE ID# 11140
Contact Telephone Number:
(513) 684-3079
Plan Name:
COMMUNITY ACTION PARTNERSHIP OF
KERN MONEY PURCHASE PLAN
Plan Number: 001

Dear Applicant:

Based on the information you provided, we are issuing this favorable determination letter for your plan listed above. However, our favorable determination only applies to the status of your plan under the Internal Revenue Code and is not a determination on the effect of other federal or local statutes. To use this letter as proof of the plan's status, you must keep this letter, the application forms, and all correspondence with us about your application.

Your determination letter does not apply to any qualification changes that become effective, any guidance issued, or any statutes enacted after the dates specified in the Cumulative List of Changes in Plan Requirements (the Cumulative List) for the cycle you submitted your application under, unless the new item was identified in the Cumulative List.

Your plan's continued qualification in its present form will depend on its effect in operation (Section 1.401-1(b)(3) of the Income Tax Regulations). We may review the status of the plan in operation periodically.

You can find more information on favorable determination letters in Publication 794, Favorable Determination Letter, including:

- The significance and scope of reliance on this letter,
- The effect of any elective determination request in your application materials,
- The reporting requirements for qualified plans, and
- Examples of the effect of a plan's operation on its qualified status.

You can get a copy of Publication 794 by visiting our website at www.irs.gov/formspubs or by calling 1-800-TAX-FORM (1-800-829-3676) to request a copy.

This letter considered the 2014 Cumulative List of Changes in Plan Qualification Requirements.

This determination letter applies to the amendments dated on

Letter 5274

COMMUNITY ACTION PARTNERSHIP OF

1/28/16 & 1/28/15.

This determination letter also applies to the amendments dated on 2/28/11 & 2/21/11.

This determination letter also applies to the amendments dated on 1/27/10.

If you submitted a Form 2848, Power of Attorney and Declaration of Representative, or Form 8821, Tax Information Authorization, with your application and asked us to send your authorized representative or appointee copies of written communications, we will send a copy of this letter to him or her.

If you have any questions, you can contact the person listed at the top of this letter.

Sincerely,

A handwritten signature in cursive script that reads "Karen D. Truss". The signature is written in dark ink and is positioned above the printed name and title.

Karen D. Truss
Director, EP Rulings & Agreements



LINNÉ STOUT
DIRECTOR

State of California-Health and Human Services Agency
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
2389 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833
Telephone: (916) 576-7109 | Fax: (916) 263-1406
www.csd.ca.gov



EDMUND G. BROWN JR.
GOVERNOR

March 28, 2016

Jeremy Tobias, Executive Director
Community Action Partnership of Kern
300-19th Street
Bakersfield, CA 93301-4906

*Chris A.
Ralph M.
BoD agenda.*

SUBJECT: CSBG CLOSE-OUT PACKAGE – CONTRACT 15F-2015

Dear Mr. Tobias:

The Department of Community Services and Development's (CSD) Field Operations Unit (FOU) has received your agency's Close-out Report for contract 15F-2015. My analysis of the Close-out information indicates the following:

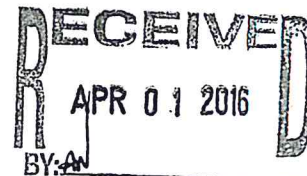
- The agency fully expended the \$1,396,948 contract allocation.
- The agency reported no program income for the program year.
- The agency reported no interest for the program year.
- The agency reported purchasing a burglar Alarm system on 9/16/15 for \$28,834 during the 2015 program year.
- The programmatic reports associated with this contract have been reviewed and accepted.

FOU considers this contract closed and the Close-out Report has been forwarded to CSD's Financial Services Unit for processing. However, this contract is subject to a final review by CSD's Audit Unit. If you have any questions concerning this report, please call me at (916) 576-4376 or e-mail your comments to me at Lawrence.Jackson@csd.ca.gov.

Sincerely,

Lawrence Jackson
Field Representative

c: Leslie Taylor, Manager
Field Operations





*Carmen
Chris.
Audit Committee.*

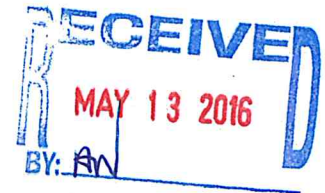
2724 L Street
Bakersfield, California 93301

Telephone (661) 328-8888

Fax (661) 328-8880

May10, 2016

Jeremy T. Tobias, Executive Director
Community Action Partnership of Kern
5005 Business Park North
Bakersfield, CA 93309



Re: 2015.2.6 – East Kern Family Resource Center

Dear Mr. Tobias:

This letter addresses the results of our Annual Administrative Review conducted on April 11, 2016, of the East Kern Family Resource Center. The objectives of the review determine program compliance with First 5 Kern program, evaluation and fiscal requirements. The visit was also an opportunity to discuss accomplishments and challenges experienced by the program.

Program Summary

Quarterly Reports were reviewed to verify milestone progress, participant counts and an executive summary detailing community activities. Milestone progress is based on estimated quarterly target projections set by the program coordinator.

Milestone Review:

- FY 2014-15: Case Management and Summer Bridge milestones unmet.
- FY 2015-16:
 - Quarter 1: All milestone projections were met.
 - Quarter 2: All milestone projections were met.

Fiscal Summary

From a fiscal perspective, the contractor has complied with contractual requirements. Claims have been submitted timely, are reliable and accurate. Supporting documentation has been readily available and provides adequate detail to support transactions. The expenditures are reasonable and necessary. Inventory and resources purchased with Proposition 10 funds, per our interview, are being used in accordance with Proposition 10 requirements. The program-specific audit for the year ending February 28, 2015, was submitted late and the payments were confirmed. An audit extension request letter will be submitted for the upcoming audit, which is due August 28, 2016.

Sustainability efforts include funding from Stater Bros. Supermarket. Funding from Kern County Network for Children (Differential Response) is reflected in the annual budget and is not entered into the Sustainability module. The program will address the goals and outcome of a grant submission in future Fiscal Executive Summaries. Quarterly Fiscal Executive Summary reports are timely. The program also receives non-monetary donations to support its outreach and direct services to families.

Commissioners

Al Sandrini
Chairperson

Rick Robles
Vice Chairperson

Dena Murphy
Treasurer

Claudia Jonah, M.D.
Secretary

Sam Aunai

Supervisor Mike Maggard

Larry J. Rhoades

William Walker

Lucinda Wasson

Alternate Commissioners

Supervisor David Couch

Michelle Curioso

Antanette Reed

Jennie Sill

Executive Director

Roland Maier

Accounting policies and procedures, safeguards and separation of duties appear to be adequately in place and are being followed for purchasing, contract transactions and payroll. Community Action Partnership of Kern has consistently demonstrated the administrative capacity and commitment to this program serving children 0-5 years old and their families.

Recommendations

2014-15: Recommendations:

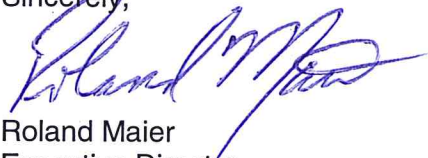
- No recommendations made.

2015-16: Recommendations:

- No recommendations made

A copy of the full report is maintained on file with First 5 Kern and is available at your request. If you have any questions or comments regarding this correspondence, please feel free to contact your respective program or finance officer.

Sincerely,



Roland Maier
Executive Director

cc: Whitney Hughes, Supervisor



LINNÉ K. STOUT
DIRECTOR

State of California-Health and Human Services Agency
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www.csd.ca.gov



EDMUND G. BROWN JR.
GOVERNOR

*Chris A.
Ralph
Audit Committee*

May 31, 2016

Jeremy T. Tobias, Executive Director
Community Action Partnership of Kern
300-19th Street
Bakersfield, CA 93301-4906

SUBJECT: 2016 Desk Review Report C-16-019

Dear Mr. Tobias:

During the week of April 25-29, 2016, the Department of Community Services and Development (CSD) conducted a Desk Review for your agency. Review of the appropriate documents provided CSD the opportunity to analyze the administrative and programmatic operations for contract numbers 16F-5015 and 15F-2415.

Enclosed for your reference is the Desk Review Monitoring Report. If you have any questions regarding this report, please call me at (916) 576-4376 or email me at lawrence.jackson@csd.ca.gov.

Sincerely,

Lawrence Jackson Jr.
Field Representative

c: Leslie Taylor, Manager
Field Operations

Garth Corrigan, Board Chair



DEPARTMENT OF COMMUNITY SERVICES & DEVELOPMENT
Monitoring Desk Review Report C-16-019

Agency Name: Community Action Partnership of Kern (CAPK)

CSD Field Representative: Lawrence Jackson Jr.

Date of Desk Review: During the week of April 25-29, 2016

Date of Report: May 31, 2016

Contracts Reviewed:

Contract Number	Program Term	Contract Amount	Type of Contract
16F-5015	1/1/15 - 12/31/15	\$1,396,948	CSBG
15F-2415	6/30/15 – 5/31/16	\$ 71,817	CSBG Discretionary

Board Governance

Tripartite Board

The tripartite board is composed of fifteen (15) members: five (5) from the public sector, five (5) from the private sector and five (5) from the low income sector. The board roster dated February 2016 indicates that there are currently no board vacancies.

Board Minutes

The Community Action Partnership of Kern (CAPK) submits approved board minutes to Department of Community Services and Development (CSD) no later than 30 days after the minutes are approved.

A review of the board minutes from January 28, 2016, February 19, 2016 and March 19, 2016 indicates that a quorum was met for each meeting. The information contained within the board minutes provided the field representative with sufficient information to determine the board's involvement in the development, planning, implementation, and evaluation of the programs.

Fiscal Review

Expenditure Reports

Contract 16F-5015

A review of the Expenditure Activity Reporting System (EARS) bimonthly expenditure report for January 2016 through February 2016 indicated that the expenditure report was submitted in a timely manner.

Contract 15F-2415

A review of the Expenditure Activity Reporting System (EARS) monthly expenditure reports from June 2015 through March 2016 indicated that the expenditure reports have been submitted timely.

Expenditure Progress

Contract 16F-5015

The year-to-date expenditures reported in EARS as February 29, 2016 indicate that 17.32% or \$241,894.54 of \$1,396,948 has been expended. It is too early in the contract term to determine if the agency will expend all funds.

Contract 15F-2415

The year-to-date expenditures reported in EARS as March 31, 2016 indicate that 79.58% or \$57,152.46 of \$71,817 has been expended. The agency is on target for expending the funds by the end of the contract term.

Annual Audit:

A review of the Audit Services Unit Transmittal Report 15-003 dated December 17, 2015 states that the report did not disclose any findings requiring corrective action.

Program Review

Program Reports

A review of the most current National Performance Indicator (NPI) Report and Client Characteristics Report indicates the reports have been submitted timely.

Contract 15F-2415

The Monthly CSD 626 Reports have been submitted timely and accurately.

Program Performance

CSBG Contract 16F-5015

A review of the agency's most current National Performance Indicator (NPI) Report shows that the agency achieved the following results:

- NPI 1.2 E- Agency projected to assist 550. To date, 566 clients obtained care for child or other dependent.
- NPI 6.5 A- Agency projected to assist 160,000. To date, 206,388 clients obtained food boxes.

CSBG Contract 15F-2415

A review of the agency's monthly CSD 626 reports show that the agency is providing low- income clients with work experience. According to the monthly report dated March 18, 2016, CAPK is at 73.33% of their goal. For example:

- Goal – Agency projected to provide 30 youth with 64 hours of work experience. To date, 22 youth have received work experience.

Finding(s)/Corrective Action

No Findings identified during this desk review.



KAREN L. SMITH, MD, MPH
Director and State Public Health Officer

State of California—Health and Human Services Agency
California Department of Public Health



EDMUND G. BROWN JR.
Governor

Chris A.
Ralph M.
Audit Committee.

June 17, 2016

Executive Director
Community Action Partnership of Kern
300 19th Street
Bakersfield, CA 93301-4906

Dear Executive Director:

Subject: 2014-15 Fiscal Year Single Audit Report Review

We reviewed your agency's single audit report for the fiscal year ending February 28, 2015. We determined that the report meets the requirements of the United States Office of Management and Budget (OMB) Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*.

No significant findings came to our attention that may negatively affect our agreement(s) with your agency. However, our program did identify minor discrepancies in the Schedule of Expenditures of Federal Awards, which require your agency's attention. See enclosed documents.

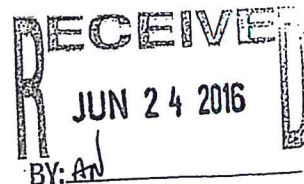
If you have any questions regarding this letter, please contact me at (916) 650-0371 or MCAHSsupport@cdph.ca.gov.

Sincerely,

Stefanie Lee, Audit Coordinator
Maternal, Child and Adolescent Health Division

Attachment

cc: Contract Manager(s)
Maternal, Child and Adolescent Health Division



ATTACHMENT
AUDIT REPORT DISCREPANCIES AND FINDING(S)

Community Action Partnership of Kern
2014-15 Fiscal Year

FEDERAL AWARD EXPENDITURES

<i>CFDA #</i>	<i>MCAH Agreement</i>	<i>Expenditures Reported in Audit</i>	<i>Expenditures Reported to MCAH</i>	<i>Discrepancies</i>
93.778	11-10281	\$16,306	\$16,177	\$129

FINDINGS AND QUESTIONED COSTS

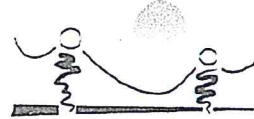
<i>CFDA #</i>	<i>MCAH Agreement</i>	<i>Programs</i>	<i>Finding #</i>	<i>Page #</i>
93.778	11-10281	None reported for this program		

**COMMUNITY ACTION PARTNERSHIP OF KERN
SCHEDULE OF EXPENDITURES OF
FEDERAL AND STATE AWARDS
FOR THE YEAR ENDED FEBRUARY 28, 2015**

<u>Federal Grantor/Pass-Through Grantor Program Title</u>	<u>Federal CFDA Number</u>	<u>Grantor's Number</u>	<u>Amount</u>	<u>Total</u>
FEDERAL:				
U.S. Department of Health and Human Services				
<i>Direct Program</i>				
Head Start	93.600	09CH9142/01	<u>\$ 22,973,096</u>	\$ 22,973,096
<i>State of California - Pass-Through Programs</i>				
Department of Community Services and Development				
Community Services Block Grant	93.569	14F-3015	1,205,595	
Community Services Block Grant	93.569	15F-2015	282,950	
Community Services Block Grant Discretionary	93.569	13F-3104	30,859	
CSBG Discretionary (VITA)	93.569	14F-3073	56,111	
CSBG Discretionary (Pre-employment)	93.569	14F-3089	<u>20,473</u>	1,595,988
Low Income Home Energy Assistance Program	93.568	14B-5012	3,260,693	
Low Income Home Energy Assistance Program	93.568	15B-3013	280,692	
LIHEAP Solar Water Heater Pilot	93.568	14B-5102	21,961	
Low Income Home Energy Assistance Program	93.568	Carryover	<u>131,233</u>	3,694,579
Department of Education				
Child Care and Development Fund				
General Child Care and Development	93.596	CCTR-3053	212,288	
General Child Care and Development	93.596	CCTR-4050	331,509	
California State Preschool	93.596	CSPP-3113	117,201	
California State Preschool	93.596	CSPP-4113	<u>221,929</u>	882,927
Child Care and Development Block Grant				
General Child Care and Development	93.575	CCTR-3053	101,284	
General Child Care and Development	93.575	CCTR-4050	182,378	
California State Preschool	93.575	CSPP-3113	55,917	
California State Preschool	93.575	CSPP-4113	122,094	
Migrant Alternative Payment	93.575	CMAF-3000	1,569,895	
Migrant Alternative Payment	93.575	CMAF-4000	<u>3,155,140</u>	5,186,708
Child Care and Development Cluster				
				6,069,635
Department of Public Health				
Information and Education	93.778	11-10281	4,183	
Information and Education	93.778	11-10281	<u>12,123</u>	16,306
<i>County of Kern - Pass-Through Programs</i>				
Substance Abuse	93.959	346-2013	32,564	
Substance Abuse	93.959	485-2014	<u>83,830</u>	116,394
Bioterrorism				
Contract 1	93.283	PPSA-004	3,257	
Contract 2	93.283	PPSA-004	<u>9,995</u>	13,252
U.S. Department of Homeland Security				
<i>Pass-Through United Way of Kern County Local Board</i>				
Emergency Food and Shelter	97.024	Phase 31	<u>73,386</u>	73,386

COUNTY OF KERN
MENTAL HEALTH DEPARTMENT

Bill Walker, LMFT, Director



Working together toward
Hope, Recovery and Independence

June 17, 2016

Jeremy Tobias, Executive Director
Community Action Partnership of Kern
5005 Business Park North
Bakersfield, CA 93309

Carmen.
Chris.
Audit Committee.

Re: Annual Quality Review Site Visit – CAPK

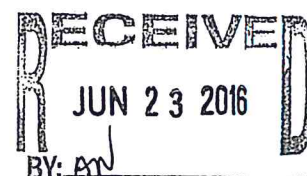
Dear Mr. Tobias,

Thank you for your staff's preparation for our site review. The administrative and chart review of the CAPK HIV Testing files demonstrates compliance with no deficiencies for this monitoring period. It is my pleasure to inform you a Plan of Correction is not required during this monitoring period.

Sincerely,

Alison Burrowes
Behavioral Health System Administrator
Substance Use Disorder Division

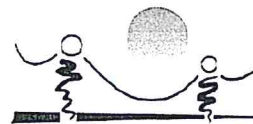
ab: yp



3300 Truxtun Ave. • P.O. Box 1000 • Bakersfield, CA 93302
Voice: (661) 868-6600 • FAX: (661) 868-6666 • TTY Relay: 1-800-735-2929

COUNTY OF KERN
MENTAL HEALTH DEPARTMENT

Bill Walker, LMFT, Director



Working together toward
Hope, Recovery and Independence

June 21, 2016

Mr. Tobias, Executive Director
Community Action Partnership of Kern
5005 Business Park North
Bakersfield, CA 93309

*Carmen.
Chris.
Audit Committee*

Re: Conclusion of FY 2015-16 Enhanced Monitoring Review

Mr. Tobias:

Thank you for your prompt response and submission of the documents that were requested for the Enhanced Monitoring Review. The review of the documents provided has been completed for the Fiscal Year 2015-16 Agreement No. 461-2015. No instances of non-compliance were found.

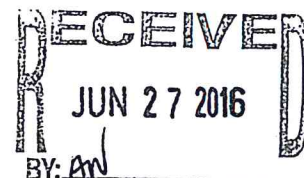
We appreciate your cooperation and support of our monitoring functions. We look forward to working with your organization in the future.

Sincerely,

Candee Del Rio Gonzalez
Business Manager

CDRG:nc

cc: Bill Walker, LMFT, Director
Alison Burrowes, MSW, Behavioral Health & Recovery Administrator
T:\Finance\Cost Reporting & Contract Monitoring\Acctnt III\EMR\EMR Working Files FY2015-16



From: Rosanne Pitz [<mailto:RPitz@cde.ca.gov>]
Sent: Wednesday, June 22, 2016 2:19 PM
To: Carmen Segovia <csegovi@capk.org>; Yolanda Gonzales <ygonzale@capk.org>
Subject: PSE for Community Action Partnership of Kern

Hello Carmen and Yolanda,
Thank you for your timely submission of the **2015-16 Program Self-Evaluation (PSE)**. I have reviewed your self-evaluation and have some feedback for you.

EESD 4000A

Your submittal indicates the collection, analysis, and integration of the assessment data for your contract type. The information you provided on staff and board member participation was very thorough and comprehensive.

EESD 4000B

Your summary of the program areas that did and did not meet standards was completed with a great deal of detail. The CMAP program is showing strong compliance with the review instrument with only one error identified from their file review. The CSPP, CCTR and CMIG programs indicated many things they are working on. It looks like your programs are benefitting from a great deal of training and coaching of teaching staff.

I look forward to coming out to visit your quality program again soon.

Thank you!

Rosanne Pitz, Child Development Consultant
Field Services Office, Early Education and Support Division
California Department of Education
1430 N Street, Suite 3410
Sacramento, CA 95814-5901
Office: 916-322-4241
Fax: 916-323-6853
rpitz@cde.ca.gov
<http://www.cde.ca.gov/>



SUMMARY OF FINDINGS FISCAL YEAR 2014-2015

OFFICE USE ONLY	Date	Initials
Administrator		
Database		

☒ **ALTERNATIVE PAYMENT MONITORING REVIEW**

☒ **CENTER-BASED MONITORING REVIEW (CMU)**

☒ **CONTRACT MONITORING REVIEW (CMR)**

☐ **FOLLOW UP: (Date)**

☐ **OTHER**

ALL DNMR CLEARED
☐ APMU
☐ CMU
☐ CMR

Contractor: Community Action Partnership - Kern		County: Kern	Vendor Number: Y320
Contract Type(s): CMAP, CCTR, CSPP (Full-day & Part-day), CMIG		# Classrooms Reviewed: Sterling Toddler room, Franklin Preschool, and Pacific Migrant	
EESD Consultant: Rosanne Pitz		Email: rpitz@cde.ca.gov	Phone: (916) 322-4241
EESD Reviewer(s): Rosanne Pitz, Jumaane Cowan, Amber Jones, Lupe Romo-Zendejas			
Initial Review Date(s): 2/1/16 - 2/5/16	Corrective Action Date: 3/21/16	Error Rate Reduction Date: 3/21/16	
Agency Rep. (Print): <i>Yolanda Gonzalez</i>		Title: <i>Director HHS - STATE</i>	Date: <i>2/5/16</i>
Agency Rep. (Signature): <i>Yolanda Gonzalez</i>			
EESD Consultant (Signature): <i>Rosanne Pitz</i>		Date: <i>2/5/16</i>	
EESD Manager (Print):		Date:	
EESD Manager (Signature):			

All items of noncompliance shall be resolved within 45 calendar days. If the item(s) of noncompliance cannot be resolved within 45 days, the contractor may request an extension not to exceed 180 days.



SUMMARY OF FINDINGS FISCAL YEAR 2014–2015

MR = Meets Requirements, DNMR = Does Not Meet Requirement, NR = Not Reviewed

Findings		Error Rate Percentage		NR
KEY DIMENSION II	Governance and Administration Policies, plans, and administration of categorical programs to meet statutory requirements.	Center-Based:	23%	
		Alternative Payment:	3%	
		MR	DNMR	
KEY DIMENSION I <u>Early Education & Support Division</u> (EESD1)	Involvement Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.	EESD 1 ☒	EESD 1 ☐	☐
KEY DIMENSION II <u>Early Education & Support Division</u> (EESD2 – EESD7)	Governance and Administration Policies, plans, and administration of categorical programs to meet statutory requirements.	EESD 2 ☐	EESD 2 ☒	☐
		EESD 3 ☒	EESD 3 ☐	☐
		EESD 4 ☒	EESD 4 ☐	☐
		EESD 5 ☒	EESD 5 ☐	☐
		EESD 6 ☒	EESD 6 ☐	☐
		EESD 7 ☒	EESD 7 ☐	☐
KEY DIMENSION IV <u>Early Education & Support Division</u> (EESD8 – EESD10)	Standards, Assessment, and Accountability Categorical programs meet state standards and are based on the assessed needs of program participants.	EESD 8 ☒	EESD 8 ☐	☐
		EESD 9 ☒	EESD 9 ☐	☐
		EESD10 ☒	EESD10 ☐	☐
KEY DIMENSION V <u>Early Education & Support Division</u> (EESD11 – EESD13)	Staffing and Professional Development Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.	EESD11 ☒	EESD11 ☐	☐
		EESD12 ☒	EESD12 ☐	☐
		EESD13 ☒	EESD13 ☐	☐
KEY DIMENSION VI <u>Early Education & Support Division</u> (EESD14 – EESD17)	Opportunity and Equal Educational Access Participants have equitable access to all programs provided by the LEA, as required by law.	EESD14 ☒	EESD14 ☐	☐
		EESD15 ☒	EESD15 ☐	☐
		EESD16 ☒	EESD16 ☐	☐
		EESD17 ☐	EESD17 ☐	☒
KEY DIMENSION VII <u>Early Education & Support Division</u> (EESD18 -EESD19)	Teaching and Learning Participants receive core and categorical program services that meet their assessed needs.	EESD18 ☐	EESD18 ☒	☐
		EESD19 ☒	EESD19 ☐	☐



**SUMMARY OF FINDINGS
FISCAL YEAR 2014–2015**

Contract Type	Key Dimension Item	FINDING(S)
CCTR CMIG CSPP		Center- Based Monitoring Review (CMU) The 23% error rate in Governance and Administration resulted from the following:
	EESD 2	ELIGIBILITY Pursuant to 5 CCR, Section 18096(b)(1), The contractor shall calculate total countable income based on income information reflecting the family's current and on-going income. When income fluctuates because of agricultural work as referenced in section 18078(j)(1), by averaging income from the 12 months preceding initial certification, and update of the application, or the recertification that establishes eligibility for services. In four of the 21 files reviewed, the contractor collected one month of income documentation for agricultural work. The contractor shall request the appropriate documentation to determine the family's total countable income for agricultural work as defined by 5 CCR, Section 18096(b)(1).
	EESD 3	NEED There were no errors in Need.
	EESD 4	PROVIDER REIMBURSEMENT There were no errors in Provider Reimbursement.
	EESD 5	FAMILY FEE There were no errors in Family Fee.
	EESD 7	Discussion Items



**SUMMARY OF FINDINGS
FISCAL YEAR 2014–2015**

CMAP		Alternative Payment Monitoring Review (APMU)
	EESD 2	The 3% error rate in Governance and Administration resulted from the following: ELIGIBILITY Pursuant to 5 CCR, Section 18096(b)(1), The contractor shall calculate total countable income based on income information reflecting the family's current and on-going income. When income fluctuates because of agricultural work as referenced in section 18078(j)(1), by averaging income from the 12 months preceding initial certification, and update of the application, or the recertification that establishes eligibility for services. In one of the 15 files reviewed, the contractor collected nine months of income documentation for agricultural work. The contractor shall request the appropriate documentation to determine the family's total countable income for agricultural work as defined by 5 CCR, Section 18096(b)(1).
	EESD 3	NEED Pursuant to 5 CCR, Section 18085.5(a)(b)(1), Families who are eligible for subsidized child care and development services based on income, public assistance, or homelessness must document that each parent in the family, pursuant to section 18078(f), meets a need criterion, as specified in Education Code section 8263(a)(2)(B). The need criteria are: Vocational training leading directly to a recognized trade, paraprofession, or profession; employment or seeking employment; seeking permanent housing for family stability; and incapacitation. Subsidized child care and development services shall only be available to the extent to which the parent meets the need criterion as specified in subdivision (a) that precludes the provision of care and supervision of of the family's child for some of the day. In one of the 15 files reviewed, the contractor did not certify the family based on the documented need of the parent. The contractor shall certify families with the appropriate number of days and hours to sufficiently meet the families need for child care as defined in section 18074.1.
	EESD 4	PROVIDER REIMBURSEMENT



**SUMMARY OF FINDINGS
FISCAL YEAR 2014-2015**

		Pursuant to 5 CCR, Section 18075.1(b), When a licensed provider is meeting the certified need for child care that included hours during the period from 6:00pm to 6:00am on any day of the week or from 6:00am Saturday to 6:00am Monday, the contractor shall multiply the regional market rate ceiling for the applicable rate category by the appropriate adjustment factor. In one of the 15 files reviewed, the contractor did an evening and weekend adjustment when the family was not certified for evening and weekend hours. The contractor shall only reimburse for evening and weekend care, when a need for evening and weekend care is authorized per the child care certificate.
	EESD 5	FAMILY FEE There were no errors in Family Fee.
	EESD 7	DISCUSSION ITEMS *Certificates (Set with Variable hours vs Unpredictable) *Using a W-2 with 12 month income **Questions to return back to the office -The agency would like clarification on being able to pay providers with direct deposit. -Will the income ceilings change since minimum wage has increased? *Part-Day CSPP files were excellent. There were no errors found.

CSPP, CCTR	EESD18	Contract Monitoring Review (CMR) ENVIRONMENT RATING SCALE Pursuant to 5 CCR, Section 18281 (a) center based programs are required to complete an environment rating scale for the appropriate age group and setting and (b) shall achieve a minimum average score of "Good" on each subscale. For the CSPP and CCTR programs, the environment rating scale scores assessed by the reviewer (see attached reports) include one subscale, Personal Care Routines, which did not achieve a subscale score of "Good". The agency must submit a corrective action plan including goals, tasks, persons responsible for the tasks, and timeline that will be implemented to ensure that all environment rating scale subscales will meet and maintain at least an average score of 5.0 (Good). All subscales scored above a score of 5.0 (Good). All other Program Instrument items are in compliance DISCUSSION - Desired results conference forms - ECERS review of all scores - Parent handbook modifications - Inventory records - Child ratio forms Visits were also conducted to the Primeros Pasos - the QRIS 5-Star center and the Central Kitchen to view meal production facilities. Both of these facilities were optimal sites. Some items on the environment rating scale have already been corrected during the review.
CMIG		



SUMMARY OF FINDINGS FISCAL YEAR 2014–2015

Follow-up Visit(s)				
Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
1.			☐	☐
Comments:				
Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
2.			☐	☐
Comments:				
Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
3.			☐	☐
Comments:				