Center for Family Life and Recovery

Oneida County Prevention Council

Provider Number: 47800, PRU: 90577

Court Street

Utica, NY 13502

Fiscal Site Review Visit 9/14/15

A Field Office Program/Fiscal Review was conducted at the Center for Family Life and Recovery (CFLR)’s Prevention Council on September 14, 2015 and was attended by OASAS Central Field Office, Beth Rinfret-Fleming, Prevention Director, Judy Riley, CFLR CEO, Cassandra Sheets and the newly hired Operations Director, Cheryl Rossi-Walczak.

Observations

CFLR provides prevention services to schools and community as an OASAS funded prevention provider and goes by the name of Oneida County Prevention Council. Program goals include: prevent initiation to alcohol, tobacco or other drug use (ATOD), reduce any youth substance use, increase awareness, address youth access to ATOD and increase community collaboration. Other programming includes counseling, training and advocacy. The program is located on the fourth floor of a professional building in downtown Utica. CFLR, through other funding sources, is also home to other human services programs throughout Oneida and Herkimer counties.

The scope of this visit included:

* Document review
* Review of program Fiscal policy and procedures
* Credit card
* Travel
* Personal Services
* WITNYS Workplan/data reporting
* Prevention Resources

Document Review

Findings:

* A current list of Board of Directors was provided for 2015.
* Board meeting minutes for 2015 were reviewed online. Minutes reflect that program reports are submitted to the Board.
* The Board of Director by-laws was provided.
* Board meetings are held bi-monthly and minutes are approved by a consent agenda.
* The Board is made up of no more than eighteen and no less than eight members. Individual members are elected to a three year term.
* The Board President and Executive Committee review the job performance of the CEO annually.
* Standing Committees include: Executive Committee, Governance Committee, Audit/Finance Committee, Human Resource Committee, Fund Development Committee, Community and Government Relations Committee.
* The Board participates in a yearly retreat and recently received training on Fundraising and new Board members receive training on Not for Profit Boards.
* Whistle blower policies have been instituted and are now in place.
* The Employee Handbook was made available for review. The handbook is reviewed and updated annually.

Recommendations:

* No recommendations at this time.

Financial Management

Findings:

* A new Operations Director was hired in September. This position takes the place of the former Finance Director position. Field office received a resume and job description for this change.
* The last fiscal viability review was done in conjunction with the last fiscal review in 2009 and both were in the acceptable range at that time.
* A written Policy and Procedure Manual was provided; it meets all required areas identified in the Financial Records section of the Administrative and Fiscal Guidelines for OASAS funded providers.
* Revenue sources are state aid, school contracts and some small grants. A United Way grant that was previously awarded was not awarded in 2015.
* The provider has submitted its 2015 CFR.
* Their most recent Federal Form 990 was filed June 25, 2015.
* The program provided its 2014 Financial Statements, by Bonadio & Co., LLP. No issues identified.
* The program meets other fiscal viability standards.

Recommendations:

* No recommendations at this time.

Travel

Findings:

* Travel costs are funded by OASAS. A copy of the Travel Policy and Procedure has been made available.
* A travel reimbursement form is used to record travel mileage and other travel costs.
* Travel reimbursement forms are filled out by the employee, signed and then signed by the supervisor prior to submitting to Finance Dept. for reimbursement.
* Travel forms include date, miles, destination/purpose, other expense, and amount with program code.
* Local mileage less than 25 miles is not reimbursed.

Recommendations:

* None at this time.

Credit Cards

Findings:

* Program credit cards are used by Department Heads only and for program supplies.
* Purchases can only be made for agency purposes and never for personal use.
* All receipts for credit card purchases along with an accurately completed Credit Card Purchase form must be submitted to the Finance Department for reconciliation within 30 days of purchase.
* Credit card receipts document the purpose for use and credit card user signature on the back of the receipt.

Recommendation:

* No recommendations at this time.

Personal Services

Findings:

* Time and attendance records are kept for OASAS-funded employees.
* A personnel list of those currently funded by OASAS was provided. All positions are included in the approved 2015 OASAS budget and submitted on the CBR.
* The program consists of a Prevention Director, CPP .8 FTE, a Prevention Specialist, 1FTE, a Family and Prevention Advocate, .5 FTE and .5 FTE Prevention Specialist.
* Staff trainings include: Cultural Competency, DSM-V, High in Plain Sight, New Ethical Dilemmas of the Digital Age, Media Literacy.
* The Prevention Director meets every other week for supervision and team meetings occur monthly.

Recommendation: No recommendations at this time.

2015-2016 Workplan

Findings:

* WITNYS Workplan submitted on time
* Evidence Based Programs meet/exceed guidelines at 61.11%
* Evidenced based programs being utilized:
* Second Step K-5
* Active Parenting of Teens
* Environmental strategies
* CFLR service approaches include:
* Positive Alternatives
* Information awareness
* Community Capacity building
* Social Marketing campaign
* Recovery Coaches
* Heroin Education Resources
* Teen Traffic Safety Education
* Alcohol Outlet Server Training
* Prescription Take Back Days
* CFLR is involved in several Prevention Resources/Coalitions including:
* ACCESS (Colleges)
* Suicide Prevention Coalition
* Asset Building
* Literacy Coalition
* Heroin/Opiate Task Force
* Communities that Care

Recommendations:

* No recommendations at this time.