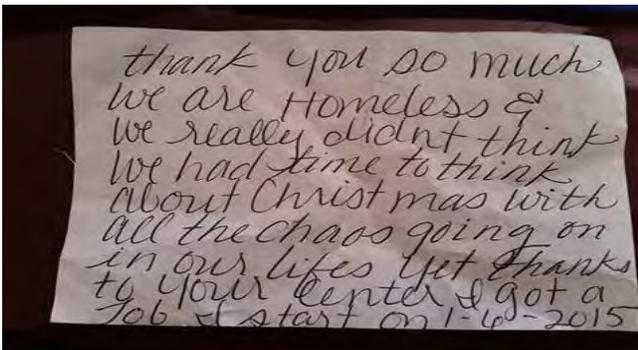




# CALIFORNIA 2016-2017 CSBG STATE PLAN AND APPLICATION



September 1, 2015

Prepared for:  
U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services



Edmund G. Brown, Jr.  
Governor  
State of California

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Health and Human Services Agency

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Department of Community  
Services and Development

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## **SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

**1.1.** Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

**1.1a.** Lead agency: **The California Department of Community Services and Development (CSD)**

**1.1b.** Cabinet or administrative department of this lead agency

- Community Services Department
- Human Services Department
- Social Services Department
- Governor's Office
- Community Affairs Department
- Other, describe:

**1.1c.** Division, bureau, or office of the CSBG authorized official: **The California Department of Community Services and Development**

**1.1d.** Authorized official of the lead agency: **Linné Stout, Director**

**1.1e.** Street address: **2389 Gateway Oaks Drive, Suite #100**

**1.1f.** City: **Sacramento**

**1.1g.** State: **California**

**1.1h.** Zip: **95833**

**1.1i.** Telephone number and extension: **916-576-7110**

**1.1j.** Fax number: **916-263-1406**

**1.1k.** Email address: **[linne.stout@csd.ca.gov](mailto:linne.stout@csd.ca.gov)**

**1.1l.** Lead agency website: **www.csd.ca.gov**

**1.2.** Provide the following information in relation to the designated State CSBG point of contact.

**1.2a.** Agency name: **The California Department of Community Services and Development**

- 1.2b. Name of the point of contact: **Pamela Harrison**
- 1.2c. Street address: **2389 Gateway Oaks Drive, Suite #100**
- 1.2d. City: **Sacramento**
- 1.2e. State: **California**
- 1.2f. Zip: **95833**
- 1.2g. Point of contact telephone number: **916-576-7188**
- 1.2h. Fax number: **916-263-1406**
- 1.2i. Point of contact email address: **pamela.harrison@csd.ca.gov**
- 1.2j. Point of contact agency website: **www.csd.ca.gov**
- 1.3. **Designation Letter:** Attach the State’s official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[See Attachment 1: State’s Official CSBG Designation Letter ]**

## SECTION 2 State Legislation and Regulation

- 2.1. **CSBG State Legislation:** Does the State have a statute authorizing CSBG?  Yes  No
- 2.2. **CSBG State Regulation:** Does the State have regulations for CSBG?  Yes  No
- 2.3. If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

The California Community Services Block Grant Program, Government (GOV) Code §12085 et seq., as amended, and Title 22, California Code of Regulations (CCR) §§100601-100795;

<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&group=12001-13000&file=12085-12091>

[https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I891249A0D4C011DE8879F88E8B0DAAAE&originationContext=documenttoc&transitionType=Default&contextData=\(sc.Default\)](https://govt.westlaw.com/calregs/Browse/Home/California/CaliforniaCodeofRegulations?guid=I891249A0D4C011DE8879F88E8B0DAAAE&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default))

**2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:

**2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year?  Yes  No

**2.4b.** Did the State establish or amend regulations for CSBG last year?  Yes  No

**2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?  Yes  No

## **SECTION 3 State Plan Development and Statewide Goals**

### **3.1. CSBG Lead Agency Mission and Responsibilities:**

The mission of the Department of Community Services and Development (CSD) is to reduce poverty for Californians by leading the development and coordination of effective and innovative programs for low-income Californians. CSD administers local community services and energy programs through a network of local service providers around the state to deliver services to low-income families, individuals and communities to help them achieve self-sufficiency and attain a higher quality of life.

CSD administers the following federal funded programs: U.S. Department of Health and Human Services (HHS) Community Services Block Grant (CSBG), the HHS Low Income Home Energy Assistance Program (LIHEAP), the U.S. Department of Housing and Urban Development Lead-Based Paint Hazard Control Program and the U.S. Department of Energy (DOE) Weatherization Assistance Program (WAP).

CSD partners with non-profit and public agencies in local communities to deliver a wide range of innovative programs that directly address the leading causes of poverty in California. For example, CSD supports projects and services that assist low-income households pay utility bills, obtain employment, increase their education, access vital early childhood programs, achieve or maintain their independence, and increase home energy efficiency and lower utility bills through weatherization.

In 2015, the California State Budget provided CSD with \$7.5 million to administer the Drought Emergency Assistance Program to provide emergency assistance services to drought impacted, low-income Migrant and Seasonal Farmworkers (MSFW). This program is available in 24 counties currently experiencing some of the worst drought impacts.

In the 2014/15 State Budget, CSD was funded \$75 million from California's Greenhouse Gas Reduction Fund (Cap-and-Trade proceeds) to launch the Low-Income Weatherization Program. This program provides cost-effective energy efficiency and renewable measures in the residences of qualifying low-income households located in disadvantaged communities, as

identified by the California Environmental Protection Agency, to reduce Greenhouse Gas emissions and energy use.

**3.2. State Plan Goals:** Describe the State’s CSBG-specific goals for State administration of CSBG under this State Plan.

CSD began developing a new five-year department strategic plan in 2014. The strategic plan will identify key priorities and goals to guide CSD toward achieving its mission through the year 2020.

As part of the strategic plan process, CSD developed the following goals specific to CSBG:

Strategic Goal	Project
Innovation & Continuous Improvement	Implement the Health and Human Services (HHS) performance management framework for CSBG.
Innovation & Continuous Improvement	Streamline the contracts process to reduce the timeframe in executing agency contracts.
Innovation & Continuous Improvement	Perform analysis, make recommendations, and implement improvements to field monitoring and compliance efforts.
Innovation & Continuous Improvement	Develop and implement an automated system to collect and report CSBG data.
Organizational Excellence	Update and refresh technology training & development.
Organizational Excellence	Recruit and retain a skilled workforce.
Community Focused Delivery	Research, develop and improve evidence based programs for poverty reduction.

**3.3. State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

**3.3a.** Analysis of

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census Data
- State performance management data (e.g., accountability measures, ACSI survey Information, and/or other information from annual reports)
- Other data (describe)
- Eligible entity community needs assessments

- Eligible entity plans
- Other information from eligible entities, e.g., State required reports (describe)

**3.3b.** Consultation with

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T & TA providers
- State partners and/or stakeholders (describe)

The State Plan was distributed for review and comment to approximately thirteen California State Departments that comprise the State Interagency Team for Children, Youth and Families (SIT). The SIT promotes shared responsibility and accountability for the welfare of children, youth and families by ensuring that planning, funding and policy are aligned across state departments.

- National organizations (describe)
- Other (describe)

**3.4. Eligible Entity Involvement**

**3.4a.** Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

CSD presented the draft 2016/17 model state plan template to the CSBG eligible entities at the Quarterly CSBG Advisory Committee (CAC) meeting, held in May 2015. The template was presented to inform the entities of the changes and the information that would be presented to the Office of Community Services (OCS).

The draft CSBG state plan and application was distributed to the CSBG eligible entities in July 2015 providing a thirty day review and comment period. During the review and comment period, CSD presented the draft CSBG state plan and application to the CSBG eligible entities during the August 2015, quarterly CAC meeting, which provided another opportunity for CSD to receive feedback and comment.

Additionally, CSBG eligible entities attended the legislative/public hearing to provide testimony and comment on CSD's proposed activities and use of the CSBG funds as outlined in the 2016/17 CSBG State Plan.

***If this is the first year filling out the automated State Plan, skip the following question.***

**3.4b.** First year filling out automated State Plan; question skipped

***If this is the first year filling out the automated State Plan, skip the following question.***

**3.5.** First year filling out automated State Plan; question skipped

## SECTION 4 CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

The draft 2016/17 CSBG State Plan and Application was published on the CSD website at [www.csd.ca.gov](http://www.csd.ca.gov) on July 24, 2015. Additionally, CSD transmitted the State Plan to all CSBG eligible entities, the California State Senate and Assembly Human Services Committees and other interested parties. The public was given the opportunity to review and submit comments on the State Plan.

Written comments were accepted until 5:00 p.m. on August 25, 2015. Comments were submitted via email to [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov) or mailed to:

Department of Community Services and Development  
 Attention: Community Services Division  
 2389 Gateway Oaks Drive, #100  
 Sacramento, CA 95833

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

The State provides ten days advance notice of the public hearing. Public notices were published in newspapers in the northern, central, and southern parts of the state prior to the hearing. CSD used its public website and social media channels to notify members of the public and stakeholders about the hearing. In addition, CSD sent a notice of the public hearing to all CSBG eligible entities.

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Date	Location	Type of Hearing [Select an option]
August 25, 2015 at 1:30 p.m.	California State Capitol, Room 437, in Sacramento, California	<ul style="list-style-type: none"> <li>• Public</li> <li>• Legislative</li> </ul>

Date	Location	Type of Hearing [Select an option]
		<ul style="list-style-type: none"> <li>• Combined</li> </ul>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.

**See the Following Attachments:**

**Attachment 2: Documentation of Legislative and Public Hearing**

**Attachment 3: Public Hearing Transcript**

### SECTION 5 CSBG Eligible Entities

5.1. **CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Entity	Geographic Area Served	Brief Description of "Other"
Berkeley Community Action Agency	Public	Community Action Agency (CAA)	Alameda	
City of Oakland, Department of Human Services	Public	CAA	Alameda	
Inyo Mono Advocates for Community Action, Inc.	Nonprofit	CAA	Alpine/Inyo Mono	
Amador-Tuolumne Community Action Agency	Public	CAA	Amador/ Tuolumne	

Community Action Agency of Butte County, Inc.	Nonprofit	CAA	Butte	
Calaveras-Mariposa Community Action Agency	Public	CAA	Calaveras/ Mariposa	
Contra Costa County Employment & Human Services Department/Community Services Bureau	Public	CAA	Contra Costa	
Del Norte Senior Center	Nonprofit	CAA	Del Norte	
El Dorado County Health & Human Services Agency	Public	CAA	El Dorado	
Fresno County Economic Opportunities Commission	Nonprofit	CAA	Fresno	
Glenn County Health and Human Services Agency	Public	CAA	Glenn/Colusa/ Trinity	
Redwood Community Action Agency	Nonprofit	CAA	Humboldt	
Campeños Unidos, Inc.	Nonprofit	CAA	Imperial	
Community Action Partnership of Kern	Nonprofit	CAA	Kern	
Kings Community Action Organization, Inc.	Nonprofit	CAA	Kings	
North Coast Opportunities	Nonprofit	CAA	Lake/ Mendocino	
Lassen/Plumas/Sierra Community Action Agency	Nonprofit	CAA	Lassen/ Plumas/Sierra	
Foothill Unity Center	Nonprofit	CAA	Los Angeles	
Long Beach Community Action Partnership	Nonprofit	CAA	Los Angeles	
County of Los Angeles Department of Public Social Services	Public	CAA	Los Angeles	
City of Los Angeles, Housing & Community Investment Department	Public	CAA	Los Angeles	
Community Action Partnership of Madera	Nonprofit	CAA	Madera	

County, Inc.				
Community Action Marin	Nonprofit	CAA	Marin	
Merced County Community Action Agency	Nonprofit	CAA	Merced	
Modoc-Siskiyou Community Action Agency	Public	CAA	Modoc/ Siskiyou	
Monterey County Community Action Partnership	Public	CAA	Monterey	
Community Action Napa Valley	Nonprofit	CAA	Napa	
Nevada County Department of Housing and Community Services	Public	CAA	Nevada	
Community Action Partnership of Orange County	Nonprofit	CAA	Orange	
Project GO, Inc.	Nonprofit	CAA	Placer	
Community Action Partnership of Riverside County	Public	CAA	Riverside	
Sacramento Employment and Training Agency	Public	CAA	Sacramento	
San Benito County Health & Human Services Agency, Community Services & Workforce Development	Public	CAA	San Benito	
Community Action Partnership of San Bernardino County	Nonprofit	CAA	San Bernardino	
County of San Diego, Health and Human Services Agency, Community Action Partnership	Public	CAA	San Diego	
Economic Opportunity Council of San Francisco	Nonprofit	CAA	San Francisco	
San Joaquin County Department of Aging & Community Services	Public	CAA	San Joaquin	
Community Action Partnership of San Luis Obispo County, Inc.	Nonprofit	CAA	San Luis Obispo	

San Mateo County Human Services Agency	Public	CAA	San Mateo	
Community Action Commission of Santa Barbara County, Inc.	Nonprofit	CAA	Santa Barbara	
Sacred Heart Community Services	Nonprofit	CAA	Santa Clara	
Community Action Board of Santa Cruz County, Inc.	Nonprofit	CAA	Santa Cruz	
Shasta County Community Action Agency	Public	CAA	Shasta	
Community Action Partnership of Solano, JPA	Public	CAA	Solano	
Community Action Partnership of Sonoma County	Nonprofit	CAA	Sonoma	
Central Valley Opportunity Center, Inc.	Nonprofit	CAA and MSFW	Mariposa, Tuolumne, Stanislaus, Madera, Merced	
Sutter County Community Action Agency	Nonprofit	CAA	Sutter	
Tehama County Community Action Agency	Public	CAA	Tehama	
Community Services & Employment Training, Inc.	Nonprofit	CAA	Tulare	
Community Action of Ventura County, Inc.	Nonprofit	CAA	Ventura	
County of Yolo, Department of Employment and Social Services	Public	CAA	Yolo	
Yuba County Community Services Commission	Public	CAA	Yuba	
California Human Development Corporation	Nonprofit	MSFW	Alpine, Amador, Butte, Calaveras, Colusa, Contra Costa, Del Norte, El Dorado, Glenn, Humboldt, Lake, Lassen, Marin, Mendocino, Modoc, Napa,	

			Nevada, Placer, Plumas, Sacramento, San Joaquin, Shasta, Sierra, Siskiyou, Solano, Sonoma, Sutter, Tehama, Trinity, Yolo, Yuba	
Center for Employment Training	Nonprofit	MSFW	Alameda, Imperial, Inyo, Los Angeles, Mono, Monterey, Orange, Riverside, San Benito, San Bernardino, San Diego, San Francisco, Santa Barbara, San Luis Obispo, San Mateo, Santa Clara, Santa Cruz, Ventura	
Proteus, Inc.	Nonprofit	MSFW	Fresno, Kern, Kings, Tulare,	
Karuk Tribe of California	Nonprofit	Tribe or Tribal Organization	Statewide	
Los Angeles City/County Native American Indian Commission	Public	Tribe or Tribal Organization	Los Angeles	
Northern California Indian Development Council, Inc.	Nonprofit	Tribe or Tribal Organization	Statewide	

5.2. Total number of CSBG eligible entities: 58

**5.3. Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State’s last State Plan submission? If yes, briefly describe the changes. Yes No

The Community Action Partnership of Solano, Incorporated (CAP Solano) administered the CSBG from 2009 through 2014 under a Memorandum of Understanding (MOU) with the Community Action Partnership of Solano JPA (JPA). The MOU between CAP Solano and JPA expired in 2014. Upon expiration of the MOU, CAP Solano’s Nonprofit Board and JPA’s Board voted and elected for JPA to resume the CAA designation, effective January 2015.

## SECTION 6 Organizational Standards for Eligible Entities

**6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

- The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
- The State will use an alternative set of organizational standards

**6.2.** If the state is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?  Yes  No

**6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State’s administrative procedures act? If “other” is selected, provide a timeline and additional information, as necessary (check all that apply and narrative if “other” is checked)

- Regulation
- Policy
- Contracts with eligible entities
- Other

**6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? (Check all that apply)

- Peer-to-peer review (with validation by the State or State-authorized third party)
- Self-assessment (with validation by the State or State-authorized third party)
- Self-assessment/peer review with State risk analysis

- State-authorized third party validation
- Regular onsite CSBG monitoring
- Other

**6.4a.** Describe the assessment process

CSD will assess CSBG eligible entities to identify if organizational standards are met or not met. CSD will utilize a variety of processes including, but not limited to, conducting onsite visits, conducting in-house assessments (e.g. desk reviews) and evaluation of self-assessments performed by the CSBG eligible entity. Upon completion of the assessment, a final report will be issued within sixty (60) working days. The report will include whether or not the CSBG eligible entity met the organizational standards. An unmet organizational standard may result in an implementation plan, technical assistance plan, or quality improvement plan.

**6.5.** Will the State make exceptions in applying the organizational standards for any entities due to special circumstance or organizational characteristics, as described in IM 138?

- Yes  No

**6.5a.** If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

CSD will exempt the Community Design Center (CDC) and Rural Community Assistance Corporation (RCAC) from meeting the organizational standards. Both entities are designated as Limited Purpose Agencies that are funded from the CSBG discretionary funds and are not required to have a tripartite board.

The Karuk Tribe of California will also be exempt from meeting the organizational standards. The Karuk Tribe of California is a Native American Indian (NAI) Tribe that is governed by a nine member Tribal Council and is not required to administer the CSBG through a tripartite board.

***If this is the first year filling out the automated State Plan, skip the following question.***

**6.6** First year filling out automated State Plan; question skipped

## **SECTION 7 State Use of Funds**

**Eligible Entity Allocation (90 Percent Funds)** [Section 675C(a) of the CSBG Act]

**7.1 Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one]**

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

**7.1a.** Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?  **Yes**  **No**

**7.2. Planned allocation:** Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. Please complete either column 2, "Funding Amount in \$," **OR** column 3, "Funding Amount in %."

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$53,822,151	Funding Amount %	Funding Amount \$53,822,151	Funding Amount %
<b>CAA</b>				
Berkeley Community Action Agency	\$250,276		\$250,276	
City of Oakland, Department of Human Services	\$1,270,145		\$1,270,145	
Inyo Mono Advocates for Community Action, Inc.	\$1,227		\$1,227	
Amador/Tuolumne Community Action Agency	\$245,043		\$245,043	
Community Action Agency of Butte County, Inc.	\$338,835		\$338,835	
Calaveras-Mariposa Community Action Agency	\$244,414		\$244,414	
Contra Costa Employment & Human Services Dept/CSB	\$797,709		\$797,709	
Del Norte Senior Center	\$47,996		\$47,996	
El Dorado County Health and Human Services Agency	\$268,174		\$268,174	
Fresno County Economic Opportunities Commission	\$1,739,368		\$1,739,368	
Glenn County Health and Human Services Agency	\$245,785		\$245,785	
Redwood Community Action Agency	\$252,455		\$252,455	
Campesinos Unidos, Inc.	\$293,872		\$293,872	
Inyo Mono Advocates for Community Action, Inc.	\$242,753		\$242,753	
Community Action Partnership of Kern	\$1,396,948		\$1,396,948	
Kings Community Action Organization, Inc.	\$282,454		\$282,454	

North Coast Opportunities	\$512,539	\$512,539
Lassen/Plumas/Sierra Community Action Agency	\$244,101	\$244,101
Foothill Unity Center	\$302,287	\$302,287
Long Beach Community Action Partnership	\$738,165	\$738,165
County of Los Angeles Dept. of Public Social Services	\$5,694,664	\$5,694,664
City of Los Angeles Housing & Community Investment Dept.	\$6,167,392	\$6,167,392
Community Action Partnership of Madera County, Inc.	\$261,727	\$261,727
Community Action Marin	\$252,931	\$252,931
Merced County Community Action Agency	\$468,362	\$468,362
Modoc-Siskiyou Community Action Agency	\$245,785	\$245,785
Monterey County Community Action Partnership	\$469,282	\$469,282
Community Action Napa Valley	\$269,148	\$269,148
Nevada County Dept. of Housing & Community Services	\$254,424	\$254,424
Community Action Partnership of Orange County	\$2,563,367	\$2,563,367
Project GO, Inc.	\$313,548	\$313,548
Community Action Partnership of Riverside County	\$2,438,902	\$2,438,902
Sacramento Employment and Training Agency	\$1,657,441	\$1,657,441
San Benito County DCS & WD	\$251,277	\$251,277
Community Action Partnership of San Bernardino County	\$2,525,483	\$2,525,483
County of San Diego, H&HSA, CAP	\$3,128,198	\$3,128,198
Economic Opportunity Council of San Francisco	\$801,985	\$801,985
San Joaquin County Dept. of Aging & Community Services	\$914,435	\$914,435
CAP of San Luis Obispo County, Inc.	\$279,032	\$279,032
San Mateo County Human Services Agency	\$425,265	\$425,265
Community Action Commission of Santa Barbara Co., Inc.	\$497,003	\$497,003
Sacred Heart Community Service	\$1,327,826	\$1,327,826
Community Action Board of Santa Cruz County, Inc.	\$272,174	\$272,174
Shasta County Community Action Agency	\$280,883	\$280,883
Community Action Partnership of Solano, JPA	\$360,798	\$360,798
Community Action Partnership of Sonoma County	\$420,801	\$420,801
Central Valley Opportunity Center, Inc.	\$718,377	\$718,377
Sutter County Community Action Agency	\$252,429	\$252,429
Tehama County Community Action Agency	\$267,816	\$267,816
Community Services & Employment Training, Inc.	\$842,850	\$842,850
Community Action of Ventura County, Inc.	\$639,612	\$639,612
County of Yolo, Dept. of Employment & Social Services	\$276,257	\$276,257
Yuba County Community Services Commission	\$255,599	\$255,599
<b>MSFW</b>		
California Human Development Corporation	\$1,375,455	\$1,375,455
Proteus, Inc.	\$2,212,688	\$2,212,688
Central Valley Opportunity Center, Inc.	\$538,222	\$538,222
Center for Employment Training	\$1,853,874	\$1,853,874
<b>NAI</b>		

Karuk Tribe of California (Core Funding)	\$42,000		\$42,000
Karuk Tribe of California	\$74,088		\$74,088
NCIDC (Core Funding)	\$122,000		\$122,000
NCIDC (CCTG/LIFE Core Funding)	\$54,250		\$54,250
NCIDC	\$1,775,341		\$1,775,341
Los Angeles City/County Native American Indian Commission of LA	\$264,614		\$264,614
<b>Total</b>	<b>53,822,151</b>		<b>53,822,151</b>

**7.3. Distribution Process:** Describe the specific steps in the State’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Upon receipt of the Award Letter from OCS, CSD determines the appropriate CSBG allocation for each eligible entity within 5 to 7 working days. The funds are distributed through a contract and the contracts are initiated and mailed to the CSBG eligible entities within ten working days.

**State Legislative or Administrative Approval**

**7.4. Distribution Timeframe:** Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award?  Yes  No

**7.4a.** If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

CSD administers CSBG Agreements (i.e., contracts) on a calendar year (January to December). To ensure a timely distribution of CSBG funds, CSD prepares Agreements for distribution to the CSBG eligible entities prior to the receipt of the CSBG Grant Award Notification. Agreements are mailed to CSBG eligible entities allowing services to begin at the beginning of the calendar year; thereby, preventing interruptions in services.

***If this is the first year filling out the automated State Plan, skip the following question.***

**7.5.** First year filling out automated State Plan; question skipped

**Administrative Funds [675C(b)(2) of the CSBG Act]**

**7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. 5%

**7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 72

**7.8.** How many State Full Time Equivalent (FTEs) will be funded with CSBG funds under this State Plan? 12

**Remainder/Discretionary Funds** [Section 675C(b) of the Act]

**7.9.** Does the State have remainder/discretionary funds?  Yes  No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

<b>Use of Remainder/Discretionary Funds</b>			
<b>Planned \$3,000,000</b>			
<b>Remainder/ Discretionary Fund Uses</b> <small>(See 675C(b)(1) of the CSBG Act)</small>	<b>Year One Planned</b>	<b>Year Two Planned</b>	<b>Brief description of services/activities</b>
<b>a. Training and Technical Assistance (T&amp;TA)</b>	21%	21%	Annually, CSD sets aside a portion of the discretionary funds to support T&TA for the CSBG eligible entities. T&TA is used to meet administrative and programmatic requirements, and to enhance operations.
<b>b. Coordination of State-operated programs and/or local programs</b>	1%	1%	To increase public awareness for increasing the both State and Federal Earned Income Tax Credit (EITC) filings, CSD may support statewide public service announcements and/ or other initiatives.
<b>c. Statewide coordination and communication among eligible entities</b>			
<b>d. Analysis of distribution of CSBG funds to determine if targeting greatest need</b>			
<b>e. Asset building programs</b>			

<b>f. Innovative programs/activities by eligible entities or other neighborhood groups</b>	<p style="text-align: center;">44%</p>	<p style="text-align: center;">55%</p>	<p>CSD may set aside a portion of the discretionary funds to support CSBG eligible entity targeted initiatives, innovative projects, and program priorities identified by CSD.</p>
<b>g. State charity tax</b>			
<b>h. Other activities, specify</b>	<p style="text-align: center;">34%</p>	<p style="text-align: center;">23%</p>	<p>CSD may use a portion of the discretionary funding to support Limited Purpose Agencies as defined in subdivision (a) of CA Government Code §12775 as community-based nonprofit organizations. In addition, discretionary funds may be designated to eligible entities in the event of a disaster. If a State of Emergency is declared by California Governor’s Office (or at the CSD Director’s discretion), CSD may make available all or a portion of the disaster set-aside to CSBG eligible entities in the affected counties.</p> <p>Due to the severity of the ongoing drought California is facing, CSD may also allocate funds to mitigate the impact on the low-income populations.</p> <p>In Fiscal Year (FY) 2016 CSD may set aside a portion of the discretionary funds to develop a statewide CSBG automated data collection system to meet the applicable State Accountability Measures.</p>
<b>Totals</b>	<p style="text-align: center;">100%</p>	<p style="text-align: center;">100%</p>	

**7.10.** What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. **[Check all that apply]**

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)

The estimated number of CSBG eligible entities is approximately 20 – 30. Federal and state law allows five (5%) percent of CSBG allocated funds to be used at the discretion of the state. Through a Notice of Funding Availability CSD initiates a competitive grant process to make discretionary funds available to California CSBG eligible entities to support targeted community initiatives in selected categories.

- Other community-based organizations
- State Community Action association
- Tribes and Tribal Organizations
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Other
- None (the State will carry out activities directly)

***If this is the first year filling out the automated State Plan, skip the following question.***

**7.11** First year filling out automated State Plan; question skipped

## **SECTION 8 State Training and Technical Assistance Plan**

**8.1.** Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.)

<b>Fiscal Year (FY) Quarter (Q)/Timeframe</b>	<b>Training, Technical Assistance, or Both</b>	<b>Topic</b>	<b>Brief Description of "Other"</b>
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Both	Governance/Tripartite –	
Ongoing/Multiple Quarters	Technical Assistance	Organizational Standards General	
Ongoing/Multiple Quarters	Technical Assistance	Organizational Standards – for CSBG eligible entities with unmet standards	
Ongoing Multiple Quarters	Technical Assistance	Reporting	
Ongoing/Multiple Quarters	Both	ROMA	
FY2 – Q2	Both	Community Assessment	
FYI 1– Q3	Training	Strategic Planning	
Ongoing/Multiple Quarters	Technical Assistance	Monitoring	
Ongoing/Multiple Quarters	Training and Technical Assistance	Community Economic Development	

**8.1a.** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): 21%

***If this is the implementation year for organizational standards, skip question 8.2.***

**8.2.** Implementation year for organizational standards; question skipped

**8.3.** Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.) **[Check all that apply and provide narrative where applicable]**

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other

CSD will contract with the California Community Economic Development Association (CCEDA), an organization that has expertise in the area of community economic development. CCEDA provides training and technical assistance to CSBG eligible entities to achieve results through a full range of community building strategies, including real estate development-housing, retail and commercial-business assistance and lending.

CSD will contract with La Cooperativa to support the expansion of *La Voz del Campo / Voice of the Field* Newsletter and radio broadcasts to provide MSFWs and their families with information and resources on MSFW issues, programs and services. Additionally La Cooperativa will provide information on the EITC with the goal of increasing the number of individuals who file and claim the EITC.

***If this is the first year filling out the automated State Plan, skip the following question.***

**8.4.** First year filling out automated State Plan; question skipped

## **SECTION 9 State Linkages and Communication**

**9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. **[Check all that apply from the list below and, if other checked, provide a Narrative]**

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office

- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

As the state administrator of the LIHEAP and WAP programs, CSD staff works collaboratively to ensure the coordination of these programs at the local level. Information pertaining to the LIHEAP/WAP services providers and their service areas are shared with the respective CSBG eligible entities. Approximately 50% of California's CSBG eligible entities administer both the LIHEAP and CSBG program.

Additionally, CSD participates on SIT whose members are representative of the agencies checked above. As a result of CSD's participation on SIT, CSD is chairing a collaborative effort to expand and promote the utilization of the EITC. Enacted in the 2015/16 State budget, California will offer a state EITC starting with tax returns filed for income earned in 2015. This cross-sectoral workgroup is representative of California state departments, the Internal Revenue Service, the California Budget & Policy Center, United Way, 2-1-1 and other private and public organizations.

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

CSD is actively engaged in collaboration and partnerships at the State level to fulfill this requirement.

State Interagency Team (SIT)

The purpose of the SIT is to provide leadership and guidance to facilitate implementation of improved systems that benefit communities and the common populations of children, youth and families. The statewide agencies represented on SIT include the California Departments of Social Services (CDSS); California Department of Education; California Department of Public Health (CDPH); California Department of Health Care Services; California Department of Corrections and Rehabilitation, California Department of Developmental Services, California Employment Development Department, California Emergency Management Agency, California Workforce Investment Board and the Administrative Office of the Courts. The SIT promotes shared responsibility and accountability for the welfare of children, youth and families by

ensuring that planning, funding and policy are aligned across state departments to accomplish the following goals:

- Build community capacity to promote positive outcomes for vulnerable families and children
- Maximize funds for the shared populations, programs and services
- Remove systemic and regulatory barriers
- Ensure policies, accountability systems and planning are outcome based
- Promote evidence based practices that engages and builds on the strengths of families, youth and children
- Share information and data

#### Food Access Nutrition Education and Outreach Participation

CSD participates in the Food Access Nutrition Education and Outreach Participation Committee meetings comprised of federal, state, county, non-profit, advocates and others focused on providing nutrition assistance programs for low-income Californians. The meetings are hosted by the CDSS CalFresh program and the CDPH SNAP–Education program. The purpose of the committee is to address policy, customer service, media and outreach changes, share data, identify barriers, and coordinate services with stakeholders at the state and local level.

#### Health in All Policies

CSD participates in the California Health in All Policies (HiAP) Task Force, which is staffed by CDPH in partnership with the Public Health Institute, and is housed under the Strategic Growth Council. HiAP brings together state agencies, departments, and offices with a common goal of working together to improve the health of all people by incorporating health, equity, and sustainability considerations into decision-making across sectors and policy areas. As part of the HiAP, CSD is participating in violence prevention small group meetings focused on identifying opportunities for cross-sector discussions, collaboration and networking to prevent violence and trauma and promote community safety.

#### Drought Task Force

On January 17, 2014, the Governor declared a Drought State of Emergency as California faced its most severe drought in decades. The Governor established a Drought Task Force to prioritize state action needed to address conditions resulting from the drought. CSD is a member of the Community Support working group responsible for administering emergency food, housing and utility assistance to drought impacted areas.

#### California State Set-Aside (SSA)

CSD participates on the SSA committee to determine funding recommendations for SSA and National Board Reallocation (NBR) awards under the Emergency Food and Shelter Program (EFSP). The EFSP is governed by a national board, chaired by the Federal Emergency Management Agency, that awards grants to local jurisdictions on a funding formula that is based on local poverty and unemployment rates. Local boards are convened in qualifying jurisdictions to determine the highest need and best use of funds, and to select organizations that will provide emergency food and shelter services. The national board awards most EFSP grants to local jurisdictions directly. SSA awards are allocated to SSA Committees to be awarded as supplemental funding to local jurisdictions that may or may not have received direct funding based on additional identified needs. The Committee is responsible for developing recommendations for the allocation of SSA and NBR funds to high-need jurisdictions in the state.

### **9.3. Eligible Entity Linkages and Coordination**

**9.3a State Assurance of Eligible Entity Linkages and Coordination:** Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

CSD requires CSBG eligible entities to coordinate and establish linkages with other public and private resources within their service area. The Community Action Plan (CAP) requires each eligible entity to provide a description of how they will coordinate and establish linkages to mobilize resources to assure maximum leveraging of the CSBG funds. Examples of these linkages include coordination or partnerships with local Workforce Investment Boards, social service departments, one-stop centers, child care centers, faith-based organizations and other community based organizations. CSD will ensure that these activities are carried out through the review of the CAPs, monitoring of the CSBG eligible entities' program performance and oversight of the contract requirements.

**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

CSBG eligible entities have established partnerships and collaborate with local community organizations, service providers and public and private agencies to assure the effective delivery of services to the low-income population. CSBG eligible entities enrich local services by linking low-income Californians to available resources through direct services, and by establishing formal and informal agreements through contractual relationships with subcontractors and referrals to community partners.

CSBG eligible entities utilize and evaluate community assessment data to identify gaps in services and opportunities. They then develop strategies to resolve the identified gaps and enhance current programs. As such, the practice of cross-referring clients is common, as staff participates on local area commissions and share information about respective services and gaps in services.

- 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?  Yes  No

**9.4a** If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

**9.4b.** If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

California CSBG eligible entities coordinate efforts and link resources with employment related community partners including, but not limited to, businesses, colleges, Workforce Investment Boards, youth organizations, one-stop centers and California Work Opportunity and Responsibility to Kids (CalWORKs) offices, to meet the immediate and long-term training and employment needs of low-income families and individuals. Through direct service, informal agreements, service referrals and contractual relationships, employment training program participants benefit from shared resources to access crucial employment and job training opportunities.

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

CSBG eligible entities describe in their CAP the coordination between antipoverty programs in their community and how the emergency energy crisis intervention programs are conducted. The CAPs are reviewed by CSD to ensure compliance with this assurance. Additionally, CSD as the administrator of the LIHEAP continues to foster coordination between the CSBG eligible entities and, where applicable, the LIHEAP provider. Approximately 50 percent of the CSBG eligible entities administer both the CSBG and LIHEAP grants. The remaining CSBG eligible

entities are acquainted with the local LIHEAP provider and utilize the linkage to serve the low-income in their community.

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

CSD requires CSBG eligible entities to certify compliance with this assurance in the CAP, and provide a description of these community partnerships. These partnerships are instrumental in allowing CSBG eligible entities to leverage funds, staff, and other resources to assist low-income Californians.

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

CSBG eligible entities coordinate funds and resources with a vast network of public and private partners including, but not limited to, Workforce Investments Boards, One-Stop Centers, CalWorks administrators, healthcare providers, Senior Centers, local Police, County Probation and Parole offices, community advisory boards, youth councils and emergency services entities to meet immediate and long-term needs of low-income individuals and families. In addition, CSBG eligible entities coordination efforts may include information sharing, direct referrals, MOUs and sub-contractual agreements to ensure delivery of services to low-income individuals.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

In coordination with the California Community Action Partnership Association (Cal/CAPA), CSD hosts quarterly CSBG CAC meetings. The CAC is a regular stakeholder meeting offering a forum for CSD and Cal/CAPA to update CSBG agencies on CSBG related topics and issues as well as for agencies to share experiences and innovations with their peers and CSD.

The CSBG-related workgroups formed by CSD to address CSBG-related issues consists of representatives that reflect the diversity of California's entities and the State Community Action Association.

- 9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

<b>Communication Plan</b>			
<b>Topic</b>	<b>Expected Frequency</b>	<b>Format</b>	<b>Brief Description of "Other"</b>
Organizational Standards	Other	Other	Webinars are used to communicate information about the Organizational standards. Also, information is included in the annual CSBG contract for each Eligible Entity. Formats: CSD communicates information through blogs, email, meetings and presentations, and webinars.
Earned Income Tax Credit	Other	Other	Information about Earned Income Tax Credit is available to providers via website. As information/ opportunities arise, CSD may communicate more frequently. Formats used to distribute information include blogs, email, meetings and presentations, and webinars.
Funding Opportunities	Other	Other	Information about funding opportunities are made available to providers utilizing all these frequencies via CSD's Public and Provider Websites. When applicable, funding opportunities are also highlighted and presented at the quarterly CSBG Advisory Committee (CAC) meeting. Formats used include blogs, email, meetings and presentations, and webinars.
CSBG Updates	Other	Other	CSBG updates are made available to providers via CSD's Provider Website. Depending on the urgency of the topic, CSBG update items are issued immediately and are also included on the quarterly CSBG Advisory Committee (CAC) meeting agenda. Formats used include blogs, email, meetings and presentations, and webinars.
Contract	Annually	Other	Contract information is issued via CSD's Provider Website, where the documents are available for immediate review/use. The CSBG contract is a recurring item on CSBG Advisory Committee (CAC) meeting agenda. Formats used to inform the network include blogs, email, meetings and presentations, and webinars to discuss contract terms and any language and or format changes.
Reporting	Other	Other	Reporting information includes biannual and annual reports. Formats used to inform the network include blogs, email, meetings, phone calls, presentations, and webinars.
Training Opportunities	Other	Other	Information concerning training opportunities for the network is made available to providers via website on daily basis, and continues to be an agenda item at the quarterly CSBG Advisory Committee (CAC). Formats used: blogs, email, meetings and presentations, and webinars.

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

CSD will utilize a variety of communication methods to provide feedback on the State Accountability Measures. CSD will utilize mailings and blogs and will provide updates during the quarterly CSBG CAC Meetings.

*If this is the first year filling out the automated State Plan, skip the following question.*

**9.11.** First year filling out automated State Plan; question skipped

## SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

### Monitoring of Eligible Entities (Section 678B(a) of the Act)

**10.1.** Specify the proposed schedule for planned monitoring visits, including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews, including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, please attach the State’s proposed monitoring schedule.

CSBG Eligible Agency	Review Type	Target Date	Date of Last Full Onsite Review	Brief Description of "Other"
				“Other” monitoring activities may include desk review and/or onsite as indicated by*
Amador-Tuolumne Community Action Agency	Full Onsite	FY1 Q3	5/1/2013	
Berkeley Community Action Agency	Full Onsite	FY1 Q3	10/16/2013	

Community Action Agency of Butte County, Inc.	Full Onsite	FY1 Q3	11/11/2013	
Calaveras-Mariposa Community Action Agency	Full Onsite	FY1 Q3	9/21/2015	
Community Design Center	Full Onsite	FY1 Q3	5/24/2013	
Central Valley Opportunity Center, Inc.	Full Onsite	FY1 Q3	12/4/2013	
Glenn County Health and Human Services Agency	Full Onsite	FY1 Q3	11/5/2013	
Lassen/Plumas/Sierra Community Action Agency	Full Onsite	FY1 Q3	5/21/2013	
City of Los Angeles, Housing & Community Investment Department	Full Onsite	FY1 Q3	6/11/2013	
County of Los Angeles Department of Public Social Services	Full Onsite	FY1 Q3	9/16/2013	
Community Action Partnership of Madera County, Inc.	Full Onsite	FY1 Q4	6/21/2013	
Merced County Community Action Agency	Full Onsite	FY1 Q4	10/29/2013	
Northern California Indian Development Council, Inc.	Full Onsite	FY1 Q4	12/11/2013	
City of Oakland, Department of Human Services	Full Onsite	FY1 Q4	9/10/2013	
Redwood Community Action Agency	Full Onsite	FY1 Q4	8/5/2013	
San Mateo County Human Services Agency	Full Onsite	FY1 Q4	11/26/2013	
Community Action Partnership of Sonoma County	Full Onsite	FY1 Q4	11/26/2015	
Tehama County Community Action Agency	Full Onsite	FY1 Q4	9/25/2013	
County of Yolo, Department of Employment and Social Services	Full Onsite	FY1 Q4	7/31/2013	
Contra Costa County Employment & Human Services Dept. Community Services Bureau	Full Onsite	FY1 Q3	11/12/2013	
California Human Development Corporation	Other	FY1 Q3	7/22/2014	*
Community Services & Employment Training, Inc.	Other	FY1 Q3	9/24/2014	*
Campeños Unidos, Inc.	Other	FY1 Q3	9/2/2014	*
Foothill Unity Center, Inc.	Other	FY1 Q3	10/27/2014	*
Karuk Tribe of California	Other	FY1 Q3	8/26/2014	*
Community Action Partnership of Kern	Other	FY1 Q3	6/25/2014	*
Kings Community Action Organization, Inc.	Other	FY1 Q3	5/14/2014	*
Long Beach Community Action Partnership	Other	FY1 Q3	9/10/2014	*
Monterey County Community Action Partnership	Other	FY1 Q3	10/13/2014	*
Community Action of Napa Valley	Other	FY1 Q3	9/29/2014	*
North Coast Opportunities	Other	FY1 Q3	6/4/2014	*
Community Action Partnership of Orange County	Other	FY1 Q3	8/12/2014	*
Project GO, Inc.	Other	FY1 Q4	8/13/2014	*
Proteus, Inc.	Other	FY1 Q4	7/15/2014	*
Rural Community Assistance Corporation	Other	FY1 Q4	7/16/2014	*
Community Action Partnership of Riverside County	Other	FY1 Q4	9/2/2014	*
Sacred Heart Community Services	Other	FY1 Q4	10/21/2014	*
San Benito County Health & Human Services Agency, Community Services & Workforce Development	Other	FY1 Q4	7/30/2014	*
Community Action Partnership of San Bernardino County	Other	FY1 Q4	9/15/2014	*

Economic Opportunity Council of San Francisco, Inc.	Other	FY1 Q4	10/7/2014	*
Community Action Commission of Santa Barbara County, Inc.	Other	FY1 Q4	10/29/2014	*
Community Action Board of Santa Cruz County, Inc.	Other	FY1 Q4	8/4/2014	*
Community Action Partnership of Solano, JPA	Other	FY1 Q4	11/10/2015	*
Community Action of Ventura County, Inc.	Other	FY1 Q4	10/28/2014	*
Center for Employment Training	Other	FY1 Q3	9/22/2015	*
Del Norte Senior Center	Other	FY1 Q3	10/26/2015	*
El Dorado County Health & Human Services Agency	Other	FY1 Q3	8/10/2015	*
Fresno County Economic Opportunities Commission	Other	FY1 Q3	6/23/2015	*
Inyo Mono Advocates for Community Action, Inc.	Other	FY1 Q3	7/21/2015	*
Los Angeles City/County Native American Indian Commission of LA	Other	FY1 Q3	5/4/2015	*
Community Action Marin	Other	FY1 Q3	4/27/2015	*
Modoc-Siskiyou Community Action Agency	Other	FY1 Q3	8/11/2015	*
Nevada County Department of Housing and Community Services	Other	FY1 Q3	4/14/2015	*
County of San Diego, Health and Human Services Agency, Community Action Partnership	Other	FY1 Q4	5/12/2015	*
San Joaquin County Department of Aging and Community Services	Other	FY1 Q4	10/5/2015	*
Community Action Partnership of San Luis Obispo County, Inc.	Other	FY1 Q4	10/13/2015	*
Sacramento Employment and Training Agency	Other	FY1 Q4	6/1/2015	*
Shasta County Community Action Agency	Other	FY1 Q4	10/5/2015	*
Sutter County Community Action Agency	Other	FY1 Q4	6/16/2015	*
Yuba County Community Services Commission	Other	FY1 Q4	9/8/2015	*
Amador-Tuolumne Community Action Agency	Other	FY2 Q3	5/1/2013	*
Berkeley Community Action Agency	Other	FY2 Q3	10/16/2013	*
Community Action Agency of Butte County, Inc.	Other	FY2 Q3	11/11/2013	*
Calaveras-Mariposa Community Action Agency	Other	FY2 Q3	9/21/2015	*
Community Design Center	Other	FY2 Q3	5/24/2013	*
Central Valley Opportunity Center, Inc.	Other	FY2 Q3	12/4/2013	*
Glenn County Health and Human Services Agency	Other	FY2 Q3	11/5/2013	*
Lassen/Plumas/Sierra Community Action Agency	Other	FY2 Q3	5/21/2013	*
City of Los Angeles, Housing & Community Investment Department	Other	FY2 Q3	6/11/2013	*
County of Los Angeles Department of Public Social Services	Other	FY2 Q3	9/16/2013	*
Community Action Partnership of Madera County, Inc.	Other	FY2 Q4	6/21/2013	*
Merced County Community Action Agency	Other	FY2 Q4	10/29/2013	*
Northern California Indian Development Council, Inc.	Other	FY2 Q4	12/11/2013	*
City of Oakland, Department of Human Services	Other	FY2 Q4	9/10/2013	*
Redwood Community Action Agency	Other	FY2 Q4	8/5/2013	*

San Mateo County Human Services Agency	Other	FY2 Q4	11/26/2013	*
Community Action Partnership of Sonoma County	Other	FY2 Q4	11/26/2015	*
Tehama County Community Action Agency	Other	FY2 Q4	9/25/2013	*
County of Yolo, Department of Employment and Social Services	Other	FY2 Q4	7/31/2013	*
Contra Costa County Employment & Human Services Dept. Community Services Bureau	Other	FY2 Q3	11/12/2013	*
California Human Development	Full Onsite	FY2 Q3	7/22/2014	
Community Services & Employment Training, Inc.	Full Onsite	FY2 Q3	9/24/2014	
Campeños Unidos, Inc.	Full Onsite	FY2 Q3	9/2/2014	
Foothill Unity Center, Inc.	Full Onsite	FY2 Q3	10/27/2014	
Karuk Tribe of California	Full Onsite	FY2 Q3	8/26/2014	
Community Action Partnership of Kern	Full Onsite	FY2 Q3	6/25/2014	
Kings Community Action Organization, Inc.	Full Onsite	FY2 Q3	5/14/2014	
Long Beach Community Services Development Corp., Inc.	Full Onsite	FY2 Q3	9/10/2014	
Monterey County Community Action Partnership	Full Onsite	FY2 Q3	10/13/2014	
Community Action Napa Valley	Full Onsite	FY2 Q3	9/29/2014	
North Coast Opportunities	Full Onsite	FY2 Q3	6/4/2014	
Community Action Partnership of Orange County	Full Onsite	FY2 Q4	8/12/2014	
Project GO, Inc.	Full Onsite	FY2 Q4	8/13/2014	
Proteus, Inc.	Full Onsite	FY2 Q4	7/15/2014	
Rural Community Assistance Corporation	Full Onsite	FY2 Q4	7/16/2014	
Community Action Partnership of Riverside County	Full Onsite	FY2 Q4	9/2/2014	
Sacred Heart Community Services	Full Onsite	FY2 Q4	10/21/2014	
San Benito County Health & Human Services Agency, Community Services & Workforce Development	Full Onsite	FY2 Q4	7/30/2014	
Community Action Partnership of San Bernardino County	Full Onsite	FY2 Q4	9/15/2014	
Economic Opportunity Council of San Francisco, Inc.	Full Onsite	FY2 Q4	10/7/2014	
Community Action Commission of Santa Barbara County	Full Onsite	FY2 Q4	10/29/2014	
Community Action Board of Santa Cruz County, Inc.	Full Onsite	FY2 Q4	8/4/2014	
Community Action Partnership of Solano, JPA	Full Onsite	FY2 Q4	11/10/2015	
Community Action of Ventura County, Inc.	Full Onsite	FY2 Q4	10/28/2014	
Center for Employment Training	Other	FY2 Q3	9/22/2015	*
Del Norte Senior Center	Other	FY2 Q3	10/26/2015	*
El Dorado County Health & Human Services Agency	Other	FY2 Q3	8/10/2015	*
Fresno County Economic Opportunities Commission	Other	FY2 Q3	6/23/2015	*
Inyo Mono Advocates for Community Action, Inc.	Other	FY2 Q3	7/21/2015	*
Los Angeles City/County Native American Indian Commission of LA	Other	FY2 Q3	5/4/2015	*
Community Action Marin	Other	FY2 Q3	4/27/2015	*
Modoc-Siskiyou Community Action Agency	Other	FY2 Q3	8/11/2015	*

Nevada County Department of Housing and Community Services	Other	FY2 Q4	4/14/2015	*
County of San Diego, Health and Human Services Agency, Community Action Partnership	Other	FY2 Q4	5/12/2015	*
San Joaquin County Department of Aging and Community Services	Other	FY2 Q4	10/5/2015	*
Community Action Partnership of San Luis Obispo County, Inc.	Other	FY2 Q4	10/13/2015	*
Sacramento Employment and Training Agency	Other	FY2 Q4	6/1/2015	*
Shasta County Community Action Agency	Other	FY2 Q4	10/5/2015	*
Sutter County Community Action Agency	Other	FY2 Q4	6/16/2015	*
Yuba County Community Services Commission	Other	FY2 Q4	9/8/2015	*

**10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **See Attachment 4: CSD California State Monitoring Procedures**

**10.3. Initial Monitoring Reports:** According to the State’s procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities? **Response:** 60 days

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)**

**10.4. Closing Findings:** Are State procedures for addressing eligible entity deficiencies and documenting closure of findings included in the State monitoring protocols attached above?  Yes  No

**10.4a.** If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings.

**10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? **Response 0**

**10.6. Reporting of QIPs:** Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

CSD will submit written documentation to OCS within 30 calendar days of the State approving a Quality Improvement Plan (QIP). The documentation will describe the details of the QIP and the corrective action and timeline of actions to be completed. CSD will provide applicable updates to OCS and notification of the resolution of the QIP and/or required subsequent action.

**10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).”  Yes  No

**Policies on Eligible Entity Designation, De-designation, and Re-designation**

**10.8.** Does the State CSBG statute or regulations provide for the designation of new eligible entities?  
 Yes  No

**10.8a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

This subject is addressed in California Government Code §12750.1.

(a) No new community action agency may be designated by the director for a political subdivision that is served by an existing community action agency unless any of the following exist:

(1) The political subdivision is informed in writing by the director that the existing community action agency has failed to comply, after having a reasonable opportunity to do so, with the requirements of this chapter, subject to paragraph (5) of subdivision (c) of Section 12781.

(2) The political subdivision is informed by its existing community action agency that because of changes in assistance furnished to programs to economically disadvantaged persons it can no longer operate a satisfactory community action program.

(3) The director is petitioned by significant numbers of eligible beneficiaries to reconsider its existing designation and, based on that reconsideration, determines to designate an alternate community action agency.

(b) In the event that the designation of an existing community action agency is revoked, the director shall designate a new community action agency within a period of 90 days after the effective date of the revocation, subject to Section 12750.2.

**10.9.** Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?  
 Yes  No

**10.9a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities.

This subject is addressed in Cal GOV Code §12750.2 and 22 CCR §100780. ) – **See Attachment 5: California GOV Code §12750.2 and 22 CCR §100780.**

**10.10.** Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?  Yes  No

**10.10a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Under California law, existing CSBG eligible entities need not be re-designated. Once designated, an eligible entity maintains eligibility for funding (designation) until the eligible entity is either de-designated/terminated or voluntarily terminates its status as an eligible entity. If an eligible entity is de-designated or terminated and wishes to become an eligible entity again, it is subject to the same provisions as any entity seeking eligible entity status.

#### **Fiscal Controls and Audits and Cooperation Assurance:**

**10.11. Fiscal Controls and Accounting:** Describe how the State’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

Administrative and program costs of federal grants are tracked through the usage of Program Cost Account and Project Numbers/Work Phase through the California State Accounting and Reporting System (CALSTARS). All Federal Trust Fund (FTF) activities are accounted by the State Controller’s Office (SCO) at two levels:

- The Appropriation Level – Authority to expend FTF is received through one or more agency appropriation in the Annual State Budget Act.
- The SCO “44” Account level. Enactment Year assigns by SCO. The SCO uses the 44 accounts as a depository for Federal receipts and transfer. Funds are held in these accounts without regard to the Fiscal Year of receipts.

CALSTARS allows departments and agencies within the State who receive federal funding to account at both levels to facilitate control and reconciliation with SCO accounts.

The Federal Catalog/SCO Account Number, which is looked up by an assigned Project Number/Work Phase in CALSTARS accounting transactions, is included on all transaction posting to federal funds.

The Federal Catalog/SCO Account Number is looked up by the Project Number/Work Phase in accounting transactions. The FY accounts are accounted in the Appropriation File and 44 Accounts in the Cash Control File.

Authority to receive Federal Funds is based on the grant document received from the federal agency. Accounts representing receipt authority (44 Accounts) are established by the SCO and in CALSTARS based on an AUD10A document submitted to the SCO. The SCO establishes individual Detail (D) and Control (C) accounts to record transfers to FY accounts. A detail receipt account, which stands alone, is established for control of receipt authority.

44 (D) accounts are summarized in an overall Control (C) account, 44 (R) accounts are summarized in an overall Control (Q) account. Authority to expend Federal Funds is received through the annual State Budget Act. Detail expenditure (D) and receipt (F) appropriation accounts, summarized in a Control (C) account, and are established by the SCO in amounts authorized by the State Budget Act. The detail accounts are established in CALSTARS through the use of appropriation symbols.

- 10.12. Single Audit Management Decisions:** Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. Response:

OMB A-133, agencies expending more than \$500,000 in federal funds in a fiscal year must have a financial audit performed annually by an independent auditor, or in the case of a governmental entity, an independent auditor or the county auditor-controller.

For agencies required to comply with 2CFR200.501 (2CFR200.110(b) (b) The standards set forth in Subpart F—Audit Requirements of this part and any other standards which apply directly to Federal agencies will be effective December 26, 2013 and will apply to audits of fiscal years beginning on or after December 26, 2014.) , agencies spending \$750,000 or more in federal funds in a fiscal year must have a financial audit performed annually by an independent auditor, or in the case of a governmental entity, an independent auditor or the county auditor-controller.

For governmental entities, the State Controllers Office (SCO) has responsibility for reviewing the audit reports for compliance with OMB A-133 requirements (generally referred to as crosscutting issues). As the pass-through entity, CSD Audit Services Unit (ASU) has responsibility for verifying that federal funds administered by CSD are expended in accordance with federal regulations, statutory requirements, state law, and contract provisions. For

agencies that the SCO does not have oversight responsibility, CSD reviews the independent auditors' reports for compliance with OMB A-133, as well as, for financial compliance with the applicable regulations and laws.

When an audit report is received, it is given a control number and logged in to the Transmittal Report (TR) log. The TR log will be used to track the receipt and completion dates. Audits will be assigned on a first in, first out basis.

- Per OMB A-133, CSD ASU has six months from the date that the audit report is received to address and resolve any issues identified.
- Audit reports received in accordance with 2CFR200.501 The Federal awarding agency or pass-through entity responsible for issuing a management decision must do so within six months of acceptance of the audit report by the FAC.

When the audit is received, the auditor:

- 1) For audits that do not go through the SCO, a complete review for compliance with Government Auditing Standards is performed.
- 2) Collects the closeouts for the contracts that are completed in the audit report. If a closeout report has not been received, the program analyst is contacted to determine the status of the closeout.
- 3) Relevant materials are collected from prior audit reports that contain contracts that are included in the current audit.
- 4) CSD financial records of disbursements are compared to reported expenditures and total audited costs. (Supplemental schedules required in CSD contract language form the basis for CSD's final reconciliation of completed contracts.)
- 5) When discrepancies between audited costs and reported costs are noted, a finding is identified for each material discrepancy noted. Each finding indicates what action the agency needs to take in order to clear/resolve the finding. When it is warranted, CSD's Financial Services Unit is notified to establish an account receivable.
- 6) A management Decision (TR) letter is issued to the agency addressing the findings identified during CSD's review.

- 10.13. Assurance on Federal Investigations:** Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?  Yes  No

***If this is the first year filling out the automated State Plan, please skip the following question.***

- 10.14.** First year filling out automated State Plan; question skipped

## SECTION 11 Eligible Entity Tripartite Board:

**11.1.** Which of the following measures are taken to ensure that the State verifies CSBG eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? [Check all that apply]

- Attend Board meetings
- Review copies of the board meeting minutes
- Track board vacancies/composition
- Other

**11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that apply]**

- Annually (submitted with contract)
- Semiannually
- Quarterly
- Monthly
- Other

**11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

As part of the CAP, CSBG eligible entities must describe their agency's procedures for ensuring adequate low-income representation on the board. CSD will assess agencies compliance by reviewing the description of the written procedures that describe how the board will ensure adequate board representation in which low-income individuals or organizations are adequately represented.

**11.4** Does the State permit public entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act?  Yes  No

**11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

CSD has established and approved an alternative mechanism to a tripartite board for NAI Contractors through the use of either a NAI governing council, commission, board or other body responsible for the administration of the CSBG funded programs. This mechanism requires that there is low-income participation.

## **SECTION 12 Individual and Community Income Eligibility Requirements**

**12.1. Required Income Eligibility:** What is the income eligibility threshold for services in the State? **[Check one item below.]**

- 125% of the HHS poverty line
- % of the HHS poverty line (fill in the threshold): 100%
- Varies by eligible entity

**12.1a.** Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

CSBG eligible entities follow their own internal income eligibility policies and procedures. CSD will review the agency's processes through the monitoring activities and will verify that the agency is following their processes and verifying income where applicable

**12.2. Income Eligibility for General/Short Term Services:** For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

As part of the CAP, CSBG eligible entities are required to describe how the agency verifies income eligibility for services with limited in-take services. CSD will review the income verification process for limited intake through the review of the CAPs and monitoring process.

**12.3. Community-targeted Services:** For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

As part of the CAP, CSBG eligible entities are required to describe how they will provide services that target and benefit low-income communities. CSD will review the CAP responses including the needs assessment to ensure services are targeting low income communities.

## **SECTION 13 Results Oriented Management and Accountability (ROMA) System**

**13.1. ROMA Participation:** In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of section 678E(b) of the CSBG Act
- An alternative system for measuring performance and results

**13.1a.** If ROMA was selected in item 13.1, attach and/or describe the State’s written policies, procedures, or guidance documents on ROMA.

California and the CSBG eligible entities will continue to participate and comply with ROMA, a management and accountability process that is focused on achieved results. California has incorporated the cycle of the ROMA principles into the CAP and comprehensive community needs assessment. To ensure that the CSBG eligible entities are meeting the ROMA principles, the CAP and community needs assessment are evaluated to verify that the needs assessment data drives the goal setting process and formulates the program activities and delivery strategies. The achievement of results will be reported using the NPIs which will be used by CSD to monitor the CSBG eligible entities performance.

**13.1b.** If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement.

**13.2.** Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act? **[Check one and provide Narrative]**

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

CSD measures the performance of the CSBG eligible entities by utilizing the following six National Goals, along with the corresponding NPIs, listed below:

**National Goals of the Community Services Block Grant**

**National Goal 1: Low-income people become more self-sufficient (*Self-sufficiency*)**

NPI 1.1 Employment

NPI 1.2 Employment Supports

NPI 1.3 Economic Asset Enhancement and Utilization

**National Goal 2: The conditions in which low-income people live are improved (*Community Revitalization*)**

NPI 2.1 Community Improvement and Revitalization

NPI 2.2 Community Quality of Life and Assets

NPI 2.3 Community Engagement

NPI 2.4 Employment Growth from ARRA Funds

**National Goal 3: Low-income people own a stake in their community**

NPI 3.1 Community Enhancement Through Maximum Feasible Participation

NPI 3.2 Community Empowerment Through Maximum Feasible Participation

**National Goal 4: Partnerships among supporters and providers of services to low-income people are achieved**

NPI 4.1 Expanding Opportunities Through Community-Wide Partnerships

**National Goal 5: Agencies increase their capacity to achieve results**

NPI 5.1 Agency Development

**National Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (*family stability*)**

NPI 6.1 Independent Living

NPI 6.2 Emergency Assistance

NPI 6.3 Child and Family Development

NPI 6.4 Family Support

NPI 6.5 Service Counts

**13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

In 2014, CSD invested discretionary funds to provide National ROMA Peer to Peer Training to CSBG eligible entities and CSBG program staff. As a result, CSD has certified ROMA trainers that are available to provide training and technical assistance to the eligible entities as needed. This will support the organizational standard 4.3, which indicates the eligible entity must use the services of a certified ROMA trainer.

**13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery?

CSD requires CSBG eligible entities to certify compliance with how they are using the data to improve service delivery. CSD will evaluate the responses to ensure data is used to improve program delivery and services.

**Community Action Plans and Needs Assessments**

**13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

CSD requires each CSBG eligible entity to submit a CAP as a condition of receipt of funding. The CAPs are submitted to CSD no later than June 30 on a biennial basis.

**13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity’s Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

As part of the CAP, CSBG eligible entities are required to submit a comprehensive community needs assessment. The needs assessment is evaluated to ensure the problems and conditions of poverty within the CSBG eligible entity’s service area are captured and based on verifiable data and information gathered through various sources.

**SECTION 14 CSBG Programmatic Assurances and Information Narrative  
(Section 676(b) of the CSBG Act)**

**14.1 Use of Funds Supporting Local Activities**

***CSBG Services***

**14.1a. 676(b)(1)(A):** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
  - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to

transition off a State program carried out under part A of title IV of the Social Security Act);

- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
  - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
  - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The CSBG eligible entities satisfy these Assurances through activities such as disaster preparedness and relief, energy supports, job training, asset development programs, educational supports, career development, volunteer efforts, food supports, health education and access, tax preparation assistance, mentoring, parenting development, child care services and other activities. CSD requires CSBG eligible entities to certify compliance with these Assurances in the CAP. CSD will ensure that these activities are carried out through review of the CAPs, monitoring of the CSBG eligible entities' program performance and enforcement of contract requirements.

### ***Needs of Youth***

**14.1b. 676(b)(1)(B)** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
  - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth

- mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

CSBG eligible entities submit a narrative as part of their CAP describing how they meet the above Assurances that address the needs of the youth in their communities. Identified needs are met through various methods, including summer youth programs, mentoring programs, gang suppression and prevention programs, life skills training and employment-related initiatives.

### ***Coordination of Other Programs***

**14.1c. 676(b)(1)(C)** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Each CSBG eligible entity’s CAP must include a narrative describing the systems used to ensure optimal coordination with other appropriate programs in the community. CSD requires CSBG eligible entities to certify compliance with these Assurances in the CAP.

### **State Use of Discretionary Funds**

**14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

See “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

### **Eligible Entity Service Delivery, Coordination, and Innovation**

**14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

#### ***Eligible Entity Service Delivery System***

**14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Because of California’s economic, geographic, language and ethnic diversity, no single service delivery system is effective or appropriate for all regions or communities within the State. While CSBG eligible entities adopt a service delivery system that seeks to maximize client access, avoid duplication of services and provide services along a continuum of need, how these

models operate is a function of local conditions and priorities. The service delivery systems of some CAAs are centralized, with the eligible entity directly providing all or most of the direct client services. Others rely on sub-contractors and referrals to a network of community partners for service delivery. Service delivery systems also vary in how and where services are provided. Some CSBG eligible entities rely primarily on providing services at a centralized, brick-and-mortar location. Others—particularly those in rural or remote regions where transportation is challenging for low-income residents—provide services to clients and communities in mobile vans or satellite offices. Co-location of services and one-stop models are common, where the client can go to one convenient location for a variety of services.

***Eligible Entity Linkages – Approach to Filling Service Gaps***

**14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations.”

See State Linkages and Communication section, item 9.3b.

***Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources***

**14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

See State Linkages and Communication section, item 9.7.

***Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility***

**14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

**Note:** The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

Each CSBG eligible entity’s CAP must include a narrative describing how the agency will use funds to support innovative community and neighborhood-based initiatives, including fatherhood and other initiatives with the goal of strengthening families and encouraging parental responsibility. Many CSBG agencies provide fatherhood strengthening classes and counseling, including expansion of non-court-ordered parenting classes, providing services addressing co-parenting communication skills, strategies to establish and maintain active

involvement in the lives of their children, and support of fathers to prevent child abandonment. Other activities described by the CSBG eligible entities have focused on incarcerated or recently paroled men, providing job training and employment assistance to prepare them to provide financial support to their children, and thus, help them re-establish healthy connections to their families. Children are a focus of many CSBG eligible entities. Many coordinate with the First 5 California, a statewide initiative focused on infants through age five, to provide services to improve early childhood outcomes to ensure they enter school healthy and ready to learn. Local program planning and coordination have also been a priority to better meet the needs of special populations like developing a coordinated system of care for homeless persons.

#### **Eligible Entity Emergency Food and Nutrition Services**

- 14.4. 676(b)(4)** Describe how the State will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

CSBG eligible entities certify their compliance with this assurance in the CAP. CSBG eligible entities provide a narrative of their plan for providing emergency food assistance and nutrition to offset conditions of starvation and malnutrition. CSBG eligible entities coordinate with a variety of community organizations to provide food security. To promote availability of nutritious foods, many CSBG eligible entities assist in the development of community gardens.

#### **State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

- 14.5. 676(b)(5)** Describe how the State will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

See State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

#### **State Coordination/Linkages and Low-income Home Energy Assistance**

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

See State Linkages and Communication section, items 9.2 and 9.5.

## **Federal Investigations**

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

See Fiscal Controls and Monitoring section, item 10.13.

## **Funding Reduction or Termination**

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

See Fiscal Controls and Monitoring section, item 10.7.

## **Coordination with Faith-based Organizations, Charitable Groups, Community Organizations**

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

See State Linkages and Communication section, item 9.6.

## **Eligible Entity Tripartite Board Representation**

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

See Eligible Entity Tripartite Board section, 11.3

## **Eligible Entity Community Action Plans and Community Needs Assessments**

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with

the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

See items 13.5 and 13.6

### **State and Eligible Entity Performance Measurement: ROMA or Alternate system**

**14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

See ROMA section, items 13.1, 13.2, 13.3, and 13.4.

### **Validation for CSBG Eligible Entity Programmatic Narrative Sections**

**14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

The State provides information for each of the assurances in corresponding items throughout the State Plan.

By checking this box, the State CSBG authorized official is certifying the assurances set out above.

## **SECTION 15 Federal Certifications**

**The box after each certification must be checked by the State CSBG authorized official.**

### **15.1 Lobbying**

#### ***Certification for Contracts, Grants, Loans, and Cooperative Agreements***

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative

agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### *Statement for Loan Guarantees and Loan Insurance*

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By checking this box, the State CSBG authorized official is providing the certification set out above.

#### **15.2 Drug-Free Workplace Requirements**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

***Certification Regarding Drug-Free Workplace Requirements*** (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

**Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

### ***Certification Regarding Drug-Free Workplace Requirements***

#### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[2389 Gateway Oaks Drive, Sacramento, Sacramento County, California, 95833]**

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

By checking this box, the State CSBG authorized official is providing the certification set out above.

**15.3 Debarment**

***CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS***

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

## Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9,

subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

\*\*\*\*\*

***Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -***

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

\*\*\*\*\*

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

By checking this box, the State CSBG authorized official is providing the certification set out above.

**15.4 Environmental Tobacco Smoke**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children’s services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

By checking this box, the State CSBG authorized official is providing the certification set out above.

## **Appendix:**

- **Attachment 1: State's Official CSBG Designation Letter**
- **Attachment 2: Documentation of Legislative and Public Hearings**
- **Attachment 3: Public Hearing Transcript**
- **Attachment 4: CSD California State Monitoring Procedures**
- **Attachment 5: California GOV Code §12750.2 and 22 CCR §100780**

**2016-17 California State Plan and Application**

**Attachment 1:**

**State's Official CSBG Designation Letter**



OFFICE OF THE GOVERNOR

May 26, 2011

Ms. Yolanda J. Butler, Ph.D.  
Acting Director  
Office of Community Services  
Administration for Children and Families  
U.S. Department of Health and Human Services  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

Dear Ms. Butler:

Pursuant to 42 U.S.C. 9908(a)(1) and Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to John A. Wagner, Acting Director of the State of California's Department of Community Services and Development, and his successor, for the purposes of submitting the application and certifying compliance with federal assurances relating to the Community Services Block Grant and Low-Income Home Energy Assistant Program.

Sincerely,

A handwritten signature in black ink that reads "Edmund G. Brown Jr." with a stylized flourish at the end.

Edmund G. Brown Jr.



**2016-17 California State Plan and Application**

**Attachment 2:**

**Documentation of Legislative and Public Hearings**

# The BAY AREA REPORTER

PROOF OF PUBLICATION

## PROOF OF PUBLICATION

CITY AND COUNTY OF SAN FRANCISCO  
STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the City and County of San Francisco, State of California. I am over the age of eighteen years and I am not a party to or interested in the matter of which this is a Proof of Publication. I am the circulation manager of the *Bay Area Reporter*, a newspaper of general circulation which is printed and published in San Francisco. The *Bay Area Reporter* was adjudged a newspaper of general circulation by the Presiding Judge of the Superior Court of San Francisco County, State of California, on January 28, 1987. The notice affixed to this page is a printed copy which was published in the regular issue of the *Bay Area Reporter* on:

August 13, 2015

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated in San Francisco, California on:

August 13, 2015



MICHAEL YAMASHITA  
Signature

### STATE OF CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT NOTICE OF PUBLIC HEARING 2016-17 COMMUNITY SERVICES BLOCK GRANT (CSBG)

The State Legislature will conduct a public hearing to receive comments on the 2016-17 State Plan and Application for the Community Services Block Grant (CSBG) Program. The hearing is scheduled for 1:30 p.m. on August 25, 2015, at the State Capitol, Room 437, Sacramento, CA 95814. Persons presenting oral testimony are requested to provide a written statement of their presentation at the conclusion of their testimony.

If unable to attend, send written comments to: Department of Community Services and Development, 2389 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833, Attention: Wilmer Brown or email:

[CSBGDIV@CSD.ca.gov](mailto:CSBGDIV@CSD.ca.gov). Comments will be accepted until

5:00 p.m. August 25, 2015. The Department of Community Services and Development will review comments and may incorporate applicable changes to the final plan. A copy of the draft plan may be obtained on CSD's website at [www.csd.ca.gov](http://www.csd.ca.gov) or by calling (916) 576-7205

**\*Notice\***

**Americans with Disabilities Act**  
Individuals who, because of a disability, need special assistance to attend or participate in this hearing may request special assistance by calling the California Assembly Human Services Committee at 916-319-2089.

Requests should be made five working days in advance whenever possible.

AUGUST 13, 2015

# THE PRESS-ENTERPRISE

1825 Chicago Ave, Suite 100  
Riverside, CA 92507  
951-684-1200  
951-368-9018 FAX

## PROOF OF PUBLICATION (2010, 2015.5 C.C.P)

Publication(s): The Press-Enterprise

PROOF OF PUBLICATION OF

Ad Desc.: PH 2016/17 CSBG

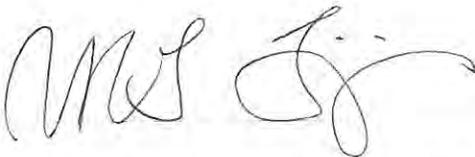
I am a citizen of the United States. I am over the age of eighteen years and not a party to or interested in the above entitled matter. I am an authorized representative of THE PRESS-ENTERPRISE, a newspaper in general circulation, printed and published daily in the County of Riverside, and which newspaper has been adjudicated a newspaper of general circulation by the Superior Court of the County of Riverside, State of California, under date of April 25, 1952, Case Number 54446, under date of March 29, 1957, Case Number 65673, under date of August 25, 1995, Case Number 267864, under date of February 4, 2013, Case Number RIC 1215735, under date of July 25, 2013, Case Number RIC 1305730, and under date of September 16, 2013, Case Number RIC 1309013; that the notice, of which the annexed is a printed copy, has been published in said newspaper in accordance with the instructions of the person(s) requesting publication, and not in any supplement thereof on the following dates, to wit:

08/14, 08/15, 08/16, 08/17, 08/18, 08/19, 08/20, 08/21, 08/22, 08/23,  
08/24/2015

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Date: Aug 24, 2015

At: Riverside, California



DEPT OF COMMUNITY SERVICES & DEVELOPMENT  
2389 GATEWAY OAKS DR, STE 100  
SACRAMENTO, CA 95833

Ad Number: 0010079644-01

P.O. Number:

## Ad Copy:

### STATE OF CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT NOTICE OF PUBLIC HEARING 2016-17 COMMUNITY SERVICES BLOCK GRANT (CSBG)

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If unable to attend, send written comments to : Department of Community Services and Development, 2389 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833, Attention: Wilmer Brown or email: CSBGDIV@CSD.ca.gov. Comments will be accepted until 5:00 p.m., August 25, 2015. The Department of Community Services and Development will review comments and may incorporate applicable changes to the final plan. A copy of the draft plan may be obtained on CSD's website at [www.csd.ca.gov](http://www.csd.ca.gov) or by calling (916) 576-7205.

#### \*NOTICE\*

#### Americans with Disabilities Act

Individuals who, because of a disability, need special assistance to attend or participate in this hearing may request assistance by calling the California Assembly Human Services Committee at 916-319-2089. Requests should be made five working days in advance whenever possible. 8/14 - 8/24

CERTIFICATE OF PUBLICATION  
RECORD SEARCHLIGHT

DEPT OF COMMUNITY SERVICES

2389 GATEWAY OAKS DRIVE  
SACRAMENTO CA 95833

REFERENCE: 856349 2015  
619369

State of California  
County of Shasta

I hereby certify that the Record Searchlight is a newspaper of general circulation within the provisions of the Government Code of the State of California, printed and published in the city of Redding, County of Shasta, State of California; that I am the principal clerk of the printer of said newspaper; that the notice of which the annexed clipping is a true printed copy was published in said newspaper on the following dates, to wit;

FILED ON:08/26/15

PUBLISHED ON:

08/15/2015, 08/16/2015, 08/17/2015, 08/18/2015,  
08/19/2015, 08/20/2015, 08/21/2015, 08/22/2015,  
08/23/2015, 08/24/2015

**STATE OF CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT NOTICE OF PUBLIC HEARING 2016-17 COMMUNITY SERVICES BLOCK GRANT (CSBG)**

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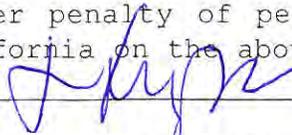
**\*NOTICE\***

**Americans with Disabilities Act**

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August 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 2015 619369

I certify under penalty of perjury that the foregoing is true and correct, at Redding, California on the above date.



RECORD SEARCHLIGHT

1101 Twin View Blvd, Redding, CA 96003

# The Sacramento Bee

P.O. Box 15779 • 2100 Q Street • Sacramento, CA 95852

**STATE OF CALIFORNIA  
DEPARTMENT OF  
COMMUNITY SERVICES & DEVELOPMENT  
2389 GATEWAY OAKS DRIVE STE 100  
SACRAMENTO CALIFORNIA 95833**

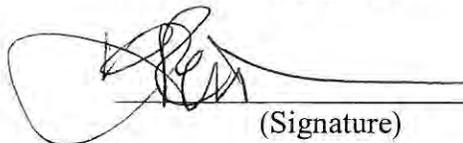
DECLARATION OF PUBLICATION  
(C.C.P. 2015.5)

COUNTY OF SACRAMENTO  
STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the County aforesaid; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the printer and principal clerk of the publisher of The Sacramento Bee, printed and published in the City of Sacramento, County of Sacramento, State of California, daily, for which said newspaper has been adjudged a newspaper of general circulation by the Superior Court of the County of Sacramento, State of California, under the date of September 26, 1994, Action No. 379071; that the notice of which the annexed is a printed copy, has been published in each issue thereof and not in any supplement thereof on the following dates, to wit:

**AUGUST 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 2015**

I certify (or declare) under penalty of perjury that the foregoing is true and correct and that this declaration was executed at Sacramento, California, on **AUGUST 24, 2015**

  
\_\_\_\_\_  
(Signature)

NO 367 PUBLIC NOTICE

**STATE OF CALIFORNIA  
DEPARTMENT OF COMMUNITY  
SERVICES AND DEVELOPMENT  
NOTICE OF PUBLIC HEARING  
2016-17 COMMUNITY SERVICES  
BLOCK GRANT (CSBG)**

The State Legislature will conduct a public hearing to receive comments on the 2016-17 State Plan and Application for the Community Services Block Grant (CSBG) Program. The hearing is scheduled for 1:30 p.m. on August 25, 2015, at the State Capitol, Room 437, Sacramento, CA 95814. Persons presenting oral testimony are requested to provide a written statement of their presentation at the conclusion of their testimony.

If unable to attend, send written comments to: Department of Community Services and Development, 2389 Gateway Oaks Drive, Suite 100, Sacramento, CA 95833, Attention: Wilmer Brown or email: CSBGDIV@CSD.ca.gov. Comments will be accepted until 5:00 p.m., August 25, 2015. The Department of Community Services and Development will review comments and may incorporate applicable changes to the final plan. A copy of the draft plan may be obtained on CSD's website at [www.csd.ca.gov](http://www.csd.ca.gov) or by calling (916) 576-7205.

**\*NOTICE\*  
Americans with Disabilities Act**

Individuals who, because of a disability, need special assistance to attend or participate in this hearing may request assistance by calling the California Assembly Human Services Committee at 916-319-2089. Requests should be made five working days in advance whenever possible.

**PROOF OF PUBLICATION**

(2015.5 C.C.P.)

**STATE OF CALIFORNIA,  
COUNTY OF LOS ANGELES**

I am a citizen of the United States and a resident of the County aforementioned; I am over the age of eighteen years, and not a party to or interested in the above-entitled matter. I am the principal clerk of the printer of

EASTERN GROUP PUBLICATIONS'

EASTSIDE SUN,

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AND

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newspapers of general circulation, printed and published THURSDAYS in the County of Los Angeles, and which newspaper has been adjudicated a newspaper of general circulation by the Superior Court of the County of Los Angeles, State of California, under the

date of JUNE 21, 1966,

CASE NUMBER 884861;

that the notice, of which the annexed is a printed copy (set in type not smaller than nonpareil), has been published in each regular and entire issue of said newspaper and not in any supplement thereof on the following dates, to-wit:

AUGUST 06 & 13,

all in the year 2015.

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at LOS ANGELES, California,  
this 13<sup>TH</sup> day of AUGUST, 2015.

Signature

This space is for the County Clerk's Filing Stamp

**STATE OF CALIFORNIA, DEPARTMENT OF  
COMMUNITY SERVICES AND DEVELOPMENT**

Proof of Publication of

State of California

Department of

Community Services and Development

Notice of Public Hearing

2016-17 Community Services Block Grant

(CSBG) ... August 25, 2015

**STATE OF CALIFORNIA  
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT**

**NOTICE OF PUBLIC HEARING**

**2016-17 COMMUNITY SERVICES BLOCK GRANT (CSBG)**

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Visalia Newspapers, Inc.  
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County of Tulare

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SACRAMENTO , CA 95833

Order # 0000630272

RE: STATE OF CALIFORNIA DEPARTMENT  
OF COMMUNITY SERVICES AND

I, CD Crawford  
Accounting Clerk, for the below mentioned newspaper(s), am over the age of 18 years old, a citizen of the United States and not a party to, or have interest in this matter. I hereby certify that the attached advertisement appeared in said newspaper on the following

Newspaper: **Visalia Times Delta**

8/14/2015    8/15/2015    8/17/2015  
8/18/2015    8/19/2015    8/20/2015

I acknowledge that I am a principal clerk of said paper which is printed and published in the City of Visalia, County of Tulare, State of California. The Visalia Times Delta was adjudicated a newspaper of general circulation on July 25, 2001 by Tulare County Superior Court Order No. 41-20576. The Tulare Advance Register was adjudicated a newspaper of general circulation on July 25, 2001 by Superior Court Order No. 52-43225.

I declare under penalty of perjury that the foregoing is true and correct. Executed on this 24 day of Aug, 2015 in Visalia, California.

CD Crawford

Declarant

STATE OF CALIFORNIA  
DEPARTMENT OF COMMUNITY  
SERVICES AND DEVELOPMENT  
NOTICE OF PUBLIC HEARING 2016-  
17 COMMUNITY SERVICES  
BLOCK GRANT (CSBG)  
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Publish: Aug 14-24, 2015 #630272

STATE CAPITOL  
P.O. BOX 942849  
SACRAMENTO, CA 94249-0035  
(916) 319-2089

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DAPHNE HUNT  
SENIOR CONSULTANT  
IRENE FRAUSTO  
COMMITTEE SECRETARY

Assembly  
California Legislature



ASSEMBLY COMMITTEE ON  
**HUMAN SERVICES**  
KANSEN CHU, CHAIR  
ASSEMBLYMEMBER TWENTY-FIFTH DISTRICT

**MEMBERS**  
CHAD MAYES, VICE CHAIR  
IAN C. CALDERON  
PATTY LOPEZ  
BRIAN MAIENSCHIN  
MARK STONE  
TONY THURMOND

August 26, 2015

The Honorable Toni Atkins  
Speaker of the Assembly  
State Capitol, Room 219  
Sacramento, CA 95814

The Honorable Kevin de León  
President pro Tempore  
State Capitol, Room 205  
Sacramento, CA 95814

RE: 2016-17 Community Services Block Grant State Plan and Application

Dear Speaker Atkins and Senator De León,

On August 25, 2015, the Assembly and Senate Committees on Human Services held a joint oversight hearing on the California Department of Community Services and Development's proposed Community Services Block Grant State Plan and Application for federal fiscal years 2016 and 2017. The hearing was held pursuant to federal law (Public Law 97-35, as amended) and California Government Code Sections 12736(a) and 12741(b).

The committees received testimony from Linné Stout, Director of the Department of Community Services and Development (Department), providing an overview of the State Plan. In addition, the committees heard testimony from: John Heath, Executive Director of the California Community Action Partnership Association; Terry Coltra, Executive Director, Northern California Indian Development Council; Hermelinda Sapien, President and CEO, Center for Employment Training; and Poncho Guevara, Executive Director, Sacred Heart Community Service. Time was also allotted for public comment.

The Department has addressed comments that were presented at the hearing or submitted to the Department in writing that required a response and/or revision to the Plan. A court reporter has supplied a transcript of the hearing that will be included in the final Plan, which will be submitted to the Secretary of the U.S. Department of Health and Human Services.

The Assembly and Senate Committees on Human Services hereby certify that the State Plan conforms to the requirements of State law.

Sincerely,

  
KANSEN CHU  
Chair, Assembly Human Services

  
MIKE MCGUIRE  
Chair, Senate Human Services

cc: Linné Stout, Director, California Department of Community Services and Development

KC:MM:dh/if

**2016-17 California State Plan and Application**

**Attachment 3:**

**Public Hearing Transcript**

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BEFORE THE  
CALIFORNIA LEGISLATURE  
SENATE COMMITTEE ON HUMAN SERVICES

JOINT OVERSIGHT HEARING OF THE SENATE AND ASSEMBLY  
HUMAN SERVICES COMMITTEES

THE 2016/17 COMMUNITY SERVICES BLOCK GRANT STATE PLAN

TUESDAY, AUGUST 25, 2015, 1:40 p.m.

ROOM 437, STATE CAPITOL



Reported By: Brittany Flores, CSR No. 13460

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APPEARANCES

SENATE AND ASSEMBLY HUMAN SERVICES COMMITTEE MEMBERS:

- Assembly Member Kansen Chu, Chair
- Senator Mike McGuire, Chair
- Assembly Member Patty Lopez

HUMAN SERVICES COMMITTEE:

- Myesha Jackson, Chief Consultant
- Daphne Hunt, Senior Consultant

## AGENDA

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1 SACRAMENTO, CALIFORNIA; TUESDAY, AUGUST 25, 2015

2 1:40 p.m.

3

4 CHAIRMAN CHU: Well, thank you very much.  
5 Welcome to the Joint Oversight Hearing on 2016/17  
6 Community Service Block Grant State Plan. I'd like to  
7 thank my fellow Assembly members and Senate members for  
8 joining us today as well as the Department of Community  
9 Services and Development, other witnesses, and public.

10 Federal law requires that a public hearing be  
11 held in conjunction with the CSBG state plan as it is  
12 finalized for submission to the federal government.  
13 Federal law also require a legislative hearing to be  
14 held every three years. By holding this biannual joint  
15 legislative hearing, both requirements are satisfied.  
16 Despite emerging from the great recession, California  
17 continues to face significant rate of overall poverty  
18 and child poverty, and the legislature continue to seek  
19 ways to assist its lowest income residents in achieving  
20 financial stability.

21 I look forward to hearing from witnesses today  
22 about the Community Service Block Grant and the many  
23 ways it is used to serve the California low-income  
24 residents by responding to locally defined need  
25 throughout the state.

1           First of all, I would ask my co-chair, Senator  
2 McGuire, if -- to make a brief comment. Thank you very  
3 much, Senator McGuire.

4           CHAIRMAN MCGUIRE: Well, good afternoon, and  
5 thank you so much, Assemblyman and Mr. Chair, for all of  
6 your work preparing today's hearing. I'm grateful to be  
7 here, and I apologize about being late.

8           CHAIRMAN CHU: No, you don't need to.

9           CHAIRMAN MCGUIRE: Our caucus ran late  
10 today.

11          CHAIRMAN CHU: I already explained that to  
12 the public.

13          CHAIRMAN MCGUIRE: All right. So again, I'm  
14 so sorry.

15          So I just want to offer just a few words, and  
16 then turn it right back over to the Chairman.

17          And, Assemblywoman, thank you so much for having  
18 me here today as well. And I think that we all know  
19 this, and despite the fact that our nation is emerging  
20 from the great recession, four in ten Californians are  
21 still living in poverty and in rural communities that I  
22 have been honored to be able to represent as well as in  
23 urban communities, which can be far larger. When  
24 accounting for the cost of living, California has the  
25 highest poverty rate in the nation. And we have more

1 kids living in poverty in California per capita than  
2 anywhere else in the United States. Nearly a quarter of  
3 all children in California did not have the resources to  
4 make ends meet in 2013, and I think that we can all  
5 agree -- and I do appreciate the Chairman, he has been a  
6 champion for this -- we must do better. And while we  
7 know that our state's economy is improving and our most  
8 vulnerable are seeing some enhanced benefits, nearly a  
9 quarter of Californians remain in poverty, meaning that  
10 they earn less than \$24,250 per year. And research has  
11 shown that Safety Net programs like Cal Works and Cal  
12 Fresh make substantial impact on poverty in California,  
13 but we still have a lot of work in front of us. And  
14 it's because a lot of Californians can't qualify for  
15 those programs, and the Community Service Block Grant  
16 Program can help alleviate poverty for some people who  
17 otherwise don't qualify for State and Federal aid  
18 including single adults. And as we see an unprecedented  
19 widening, a gulf, if you will, between those families  
20 who are successfully recovering from the effects of the  
21 recession and those who are still struggling, and I have  
22 to say in the rural district I represent from the Golden  
23 Gate Bridge to the Oregon Border, we have among the  
24 highest poverty rates in the state and the poorest  
25 county in the State of California as well.

1           As we proceed today, I hope that we're going to  
2 hear how local programs are leveraging funds to maximize  
3 their community reach and also, hoping to hear from the  
4 state, how it focuses discretionary funding to assist in  
5 emergency situations such as the drought and how that  
6 assistance is different from other funding streams. And  
7 finally, Mr. Chair, I hope that we're going to be  
8 discussing -- and I know the Chair is all over this. So  
9 greatly appreciate -- so how the state is responsive to  
10 those that it serves.

11           And again, Mr. Chair, thank you so much for all  
12 of the work. I will have to run to Transportation and  
13 Housing to take a vote. So if I get up, please don't  
14 take offense to that, and again, thank you for all of  
15 your work and your amazing staff as well.

16           CHAIRMAN CHU: Thank you, Senator.

17           And we do have Assembly Member Lopez here.

18           Do you have any additional comments?

19           MS. LOPEZ: Thank you, Mr. Chair, and, of  
20 course, I look forward to learning more, in details,  
21 about the community service plan -- community service  
22 block grant and for the plan for the state.

23           CHAIRMAN CHU: Is your microphone on?

24           MS. LOPEZ: Oh, sorry.

25           Thank you, Mr. Chair, and I look forward to

1 learning more about the grant improvements to the  
2 community. Thank you so much for having me here.

3 CHAIRMAN CHU: All right. Thank you,  
4 Assembly Members.

5 So first of all, I'd like to call up our first  
6 two panelists, Ms. Linné Stout and Mr. John Heath.

7 Would you please introduce yourself, and we'll  
8 get started.

9 MS. STOUT: Thank you, Assembly Member Chu,  
10 Senator McGuire, and members of the Human Services  
11 Committee. Thank you for the opportunity to provide an  
12 overview of our Community Services Block Grant, or CSBG,  
13 state plan and share our efforts to maximize our federal  
14 resources to assist low-income Californians. I'm Linné  
15 Stout, the director of the Department of Community  
16 Services and Development, and the Department's mission  
17 is to reduce poverty by leading the development and  
18 coordination of effective and innovative programs for  
19 low-income individuals and families across the state.  
20 The goal of all programs administered by CSD is to  
21 provide low-income Californians a pathway out of poverty  
22 towards self-reliance and improved wellbeing. CSBG  
23 helps us achieve this goal through not only providing  
24 some of the most basic services and immediate life  
25 necessities but also providing services that help

1 achieve self-sufficiency. CSBG is unique in that it's  
2 flexible and it's intended to meet the locally  
3 determined needs of each community. As a condition of  
4 funding, all CSBG agencies are required to undertake a  
5 local planning process that includes conducting  
6 community needs assessments and public forums, which are  
7 used to complete a local community action plan that's  
8 submitted to the department, and it is incorporated into  
9 our state plan. As part of their planning process, each  
10 agency is required to involve members of the community  
11 who are low-income. In addition, there's a requirement  
12 that the board member is a tripartite board that's  
13 composed of a third low-income, a third private, and a  
14 third public elected officials. In accordance with  
15 federal and state law, the department distributes 90  
16 percent of the CSBG funding to local, nonprofit, and  
17 public agencies, which cover all counties throughout the  
18 state. The three type of agencies and the percentages  
19 of the funding distributed is 76.1 percent to community  
20 action, 10 percent to the migrant and seasonal farm  
21 worker agencies, and 3.9 percent to Native American  
22 Indian organizations. These agencies provide a broad  
23 range of services and support to help reduce poverty in  
24 California communities including assistance in the area  
25 of food and nutrition, job training, employment,

1 education, income management, housing, emergency  
2 services, and other programs that assist low-income  
3 people. Many of our agencies also provide utility  
4 assistance for families who can't pay their energy bills  
5 and weatherization services to improve the energy  
6 efficiency of homes for eligible low-income households.

7 Another unique and important element of CSBG is  
8 that it can be used to assist local communities for the  
9 revitalization of low-income areas and the reduction of  
10 poverty and to help local service providers fill  
11 capacity and develop links with other service providers  
12 through leveraging. CSBG encourages innovative  
13 community and neighborhood based initiatives that are  
14 developed to the local community action planning  
15 process, which in many cases, includes local  
16 partnerships and important leveraging. I won't go into  
17 detail on all, because some are included in your  
18 briefing documents, but I'd like to highlight a few  
19 examples that I've had an opportunity to visit.

20 The Truancy Prevention Program is operated by the  
21 community action partnership of Sonoma County, and it  
22 was created with local partners to improve high school  
23 graduation rates and employment transition after  
24 graduation. With the CSBG funding, the program was able  
25 to support a full-time truancy prevention specialist

1 position. The specialist worked with both the students  
2 and parents to improve student attendance, prevent  
3 truancy, and to provide support to students who drop  
4 out. During the school year 2013-14, this program  
5 helped 21 at-risk youth obtain high school diplomas and  
6 20 middle school youth develop their education plans.

7 Another example is the City of Oakland Department  
8 of Human Services, which contracts with Saint Vincent de  
9 Paul's Kitchen of Champions culinary training program,  
10 which is an intensive 12-week job training program for  
11 low-income individuals facing barriers to employment.  
12 The program provides participants with job search and  
13 placement support as well as case management. In 2014,  
14 71 trainees prepared 800 daily hot meals for Saint  
15 Vincent de Paul's dining room and provided catering to  
16 other non-profits. Graduates of the program have been  
17 successful in obtaining employment at local businesses  
18 in the area such as Google, Brown Sugar Kitchen, local  
19 restaurants, and Berkeley and Oakland school districts.  
20 We are fortunate to have two individuals here today who  
21 I know will share examples of their amazing work  
22 utilizing CSBG to address needs living in their  
23 communities.

24 In accordance with federal statute, five percent  
25 of California's CSBG funds are used for discretionary

1 purposes. The department uses discretionary funds to  
2 support limited purpose agencies, provide training and  
3 technical assistance, and to fund targeted initiatives.  
4 In the area of targeted initiatives, the department  
5 conducts surveys and identifies statewide needs to  
6 develop funding opportunities for agencies to submit  
7 proposals. For example, this year, we funded 17  
8 agencies to provide programs that are intended to reduce  
9 childhood poverty by providing low-income families with  
10 multiple pathways to achieve financial stability and  
11 increase access to education training purposes and high  
12 quality childhood education. Facilitated youth training  
13 programs and -- sorry -- facilitated youth employment  
14 including employment for disabled youth. And we also  
15 had homeless services. And, of course, due to the  
16 severity of the drought, which has dramatically affected  
17 agriculture and disproportionately affected low-income  
18 individuals, we have used the discretionary funds to  
19 provide services related to drought relief. The drought  
20 assistance program provides funds to migrant and  
21 seasonable farm worker agencies to provide employment,  
22 training, and placement services to individuals who have  
23 lost employment. The drought water assistance program,  
24 which is actually a pilot program, provides funding that  
25 helps drought impacted low-income households with their

1 residential water utility bill of vital water services  
2 and also promotes water conservation.

3 Another important area in which we've used  
4 discretionary funds and work closely with our CSBG  
5 network is to increase opportunities for low-income  
6 working families to take advantage of the Earned Income  
7 Tax Credit or, EITC, which is one of the most effective  
8 ways to help people out of poverty. Using discretionary  
9 funding, we have provided opportunities for local  
10 agencies to create new or expand existing volunteer  
11 income tax assistance sites. In an effort to bring  
12 awareness to the benefit of the EITC, we sponsored  
13 statewide public service announcements, and during the  
14 2014 tax season, we saw more CSBG agencies offer free  
15 tax preparation services. In tax year 2014, 47,000  
16 participants received tax preparation services. In tax  
17 year 2014, it was over 65,000, which, in aggregate,  
18 resulted in more than \$154 million claimed. You can  
19 imagine the positive impact this has on these  
20 individuals and families not to mention the multiplying  
21 effect this had on the economy here in California. In  
22 an effort to further increase the number of EITC  
23 claimed, the department created a poverty reduction work  
24 group of state agencies and stakeholders to identify  
25 resources and to develop strategies to increase

1 awareness through targeted outreach and public service  
2 announcements, and now with the addition of the state  
3 EITC, we hope to be able to have an even greater impact  
4 on those living in poverty.

5           Critical to our success is productive  
6 partnership. CSD works in partnership with the CSBG  
7 network on coordinating statewide efforts to reduce  
8 poverty. We hold quarterly meetings to discuss policy,  
9 share information, and highlight best practices. It's  
10 also important that we focus our collective efforts to  
11 ensure effective accountability and transparency at the  
12 federal, state, and local level. Since the previous  
13 state plan was submitted on September 1st, 2013, there  
14 have been significant changes to the administration of  
15 CSBG. The Federal Office of Community Services under  
16 the Department of Health and Human Services has invested  
17 in the development of performance management framework  
18 for states and local agencies which includes national  
19 organizational standards and performance management  
20 protocols. The Department has worked very closely and  
21 has been very involved in all aspects. The purpose of  
22 the organizational standards is to ensure that all  
23 agencies have appropriate organizational capacity not  
24 only in the critical financial administrative areas  
25 important to all nonprofit and public human service

1 agencies but also serve as capacity building tool to  
2 help agencies provide comprehensive and coordinated  
3 antipoverty services.

4           New state and federal accountability measures are  
5 currently in draft. These proposed measures are  
6 intended to ensure that both the state and federal  
7 administrators are accountable to high standards of  
8 performance management. It is the expectation of OCS  
9 that the state and federal accountability measures will  
10 be implemented alongside the new organizational  
11 standards. The federal CSBG act requires that states  
12 participate in a federally approved performance  
13 management system known as Results Orientated Management  
14 and Accountability system, or ROMA. All states must  
15 also annually submit to HHS the report on the measured  
16 performance of CSBG. The Department along with a select  
17 group of leaders within the CSBG network participating  
18 on CSBG ROMA next generation -- the CSBG network is  
19 incredibly adaptable, which is only further proven by  
20 the successful leveraging and many strategic  
21 partnerships that take place each year.

22           It's hard to predict the future, but I believe  
23 that with many of the items identified in my remarks, we  
24 will ensure that California continues to have the strong  
25 leadership and partnerships needed to weather any

1 changes. Again, thank you for this opportunity to  
2 present this CSBG plan. We appreciate your support, and  
3 I'd be happy to respond to any questions.

4 CHAIRMAN CHU: Great. Thank you very much,  
5 Director Stout.

6 Any questions from members?

7 CHAIRMAN MCGUIRE: I have a question, but I  
8 can wait.

9 CHAIRMAN CHU: No.

10 CHAIRMAN MCGUIRE: Thank you so much. Thank  
11 you, Mr. Chair.

12 Madam Director, thank you so much. I just want  
13 to get a better understanding. When there may be  
14 additional dollars that are not spent or at the end of  
15 the year, can you talk about how you're able to use  
16 those -- I'm just going to call them discretionary  
17 dollars -- and how that investment works. Do they go to  
18 agencies that have already received funding? Do they go  
19 to initiatives that you have just mentioned, for  
20 example, the issue of drought, poverty reduction, et  
21 cetera? Can you go into that a little bit and -- just  
22 better understanding of that.

23 MS. STOUT: So for the CSBG funding, which  
24 is about \$60 million a year, any dollars that are  
25 unexpended at the end of the contract year, which

1 really, there typically isn't, but federal law requires  
2 that those are retained by the agency that they are  
3 originally obligated for. So with this particular block  
4 grant program, we don't have any -- at all left over --

5 CHAIRMAN MCGUIRE: Uh-huh.

6 MS. STOUT: -- but with our -- and then with  
7 our discretionary dollars, up to the five percent, we  
8 use for the purposes of the initiatives and that type,  
9 but we have two years to fully expend the community  
10 services block grant funding. So it -- typically, all  
11 of the agencies fully expend on those contracts and  
12 on -- for the purposes of those funds.

13 CHAIRMAN MCGUIRE: And so just -- I'm just  
14 going to walk it down here.

15 MS. STOUT: Sure.

16 CHAIRMAN MCGUIRE: Just one more time. So  
17 if you have an agency that does not spend their full  
18 amount, and I'm sure that does not happen often because  
19 dollars are so short, those dollars are then returned  
20 back to the feds, if you will, particularly the 60  
21 million, or if you're getting close to a calendar year  
22 where you don't see it's going to be spent, can those be  
23 reinvested in additional agencies?

24 MS. STOUT: Those are retained with those  
25 agencies.

1           CHAIRMAN MCGUIRE: With those -- so there's  
2 an ability to carry over.

3           MS. STOUT: Yes, but they can't be carried  
4 over to any other agency. They stay with that agency  
5 but we make sure that we don't return federal funds --

6           CHAIRMAN MCGUIRE: I was just going to --

7           MS. STOUT: That's our primary -- yeah.

8           CHAIRMAN MCGUIRE: And then I'm just going  
9 to -- and I appreciate your patience.

10          MS. STOUT: Sure.

11          CHAIRMAN MCGUIRE: I'm just going to go down  
12 one more time to make sure I'm understanding. So on  
13 those discretionary dollars --

14          MS. STOUT: Uh-huh

15          CHAIRMAN MCGUIRE: -- let's say that there  
16 are groups that may not otherwise -- and I'm going to go  
17 down the road of drought for example -- that may not  
18 otherwise be a typical partners agency, if you will,  
19 outside of the scope, so for example, outside of cap and  
20 how that's distributed, ability to be able to go after  
21 those discretionary dollars for those agencies.

22          MS. STOUT: They are for the CSBG eligible  
23 entities. So within our network --

24          CHAIRMAN MCGUIRE: Correct.

25          MS. STOUT: -- of agencies, we have funding

1 proposal opportunities for targeted initiatives. So we  
2 open that up to the network official agencies that we  
3 participate with, yes.

4 CHAIRMAN MCGUIRE: Okay. Perfect. Thanks

5 CHAIRMAN CHU: Thank you.

6 Any additional questions?

7 No. All right. Great. Thank you very much for  
8 mentioning the state Earned Income Tax Credit and  
9 appreciate that you help us get the word out.

10 Next up we have John Heath, executive director of  
11 California Community Action Partnership Association,  
12 CalCAPA.

13 MR. HEATH: Yes, sir. Chairman Chu,  
14 Chairman McGuire, Assembly Member Lopez, thank you for  
15 the opportunity to present testimony related to the  
16 State of California's Community Service Block Grant  
17 State Plan. My name is John Heath, and I'm a relative  
18 newcomer to the great State of California. For the last  
19 seven months, I've had the unique privilege of serving  
20 as executive director of the California Community Action  
21 Partnership Association. CalCAPA is comprised of 24  
22 public and 34 private community action agencies and two  
23 limited purpose agencies who all provide critical  
24 purposes in all 58 counties of the great State of  
25 California. CalCAPA members are having a significantly

1 positive impact on the State of California in large part  
2 due to CSBG funding received. For example, in 2014,  
3 nearly one quarter of a million Californians acquired a  
4 job, increased employment income, or achieved a living  
5 wage as a result of the work of our community action  
6 agencies. Almost a hundred thousand Californians  
7 achieved an increase in financial assets and financial  
8 skills, and as we know, to climb out of poverty, having  
9 assets is so critical. Close to 300,000 Californians  
10 secured or maintained an independent living situation,  
11 and nearly 800,000 Californians received emergency  
12 assistance.

13           Community action agencies in California are  
14 creating bridges out of poverty through  
15 entrepreneurship, early childhood education, and 21st  
16 century workforce efforts. Our member organizations  
17 play a major role in the economic wellbeing of local  
18 communities. California community action agencies are  
19 not simply service providers but they're also economic  
20 engines providing California communities with an annual  
21 infusion of more than \$500 million in total resources.  
22 So that local toilet paper distributor, the folks of  
23 vendors, they are obviously able to do business with our  
24 community action agencies. CalCAPA, itself, is governed  
25 by a 12-member board of directors. One of our primary

1 purposes is to provide capacity building as well as  
2 customized training and technical assistance to the  
3 network through contracts that we have with CSD and also  
4 the Office of Community Services. Our chief goal is  
5 really to build the ability of our network collectively  
6 to not just have one great agency but to have a group of  
7 great agencies that will literally serve as a standard  
8 for community action agencies in the United States. We  
9 have embarked on a new strategy that I've dubbed "the  
10 war on poverty 3.0," where the war on poverty 3.0  
11 requires us to rethink our strategies. It pushes us to  
12 be more innovative or acquire new allies, and we have  
13 been reaching out to people in this fight, perhaps, that  
14 have not been reached before. And then we also want to  
15 utilize new weapons and strategies to wage a successful  
16 war. Community action agencies are waging a battle on a  
17 variety of fronts in our urban centers and, yes,  
18 Mr. Chairman, even in our rural areas, and we have  
19 really taken a focus to really support and strengthen  
20 our rural service providers who have unique challenges.

21 Those faces that we talk about, we have often  
22 heard of the face of poverty, but really, Mr. Chairman,  
23 Assemblywoman, we really are now talking about faces of  
24 poverty. No longer is poverty just white or black or  
25 Anglo or Latin, Latino. The face of poverty now is a

1 person who has, perhaps, a college education or those  
2 who have a GED, and so we're really looking to push  
3 aside that cookie cutter approach and really look at  
4 some individual solutions. Communities and families, as  
5 you said, are still recovering from the great recession,  
6 and we have seen an uptick in middle-class families  
7 seeking assistance at our various agencies. There's  
8 also an uptick in the homeless population. CSBG really  
9 allows our agencies to really backfill to really -- to  
10 help them engage in sheltering strategies that includes  
11 shelter, housing but also counseling, workforce  
12 development. The huge increase in the numbers of  
13 homeless due to the rise in housing cost cannot be  
14 handled really without the critical resources that we  
15 get from the Community Services Block Grant. CSBG, as  
16 Director Stout talked about, really is one of the last  
17 flexible forms of funding that really allow us to be  
18 innovative. Our community action agencies are  
19 incredibly creative and innovative in leveraging CSBG  
20 funds. For example, in Fresno, CSBG funds while  
21 representing only 1.5 percent of their overall budget,  
22 and we do have the largest community action agency in  
23 America located here in California, but nonetheless,  
24 even though CSBG is only 1.5 percent of their budget,  
25 they're able to leverage that to be able to provide

1 services with their emergency youth shelter and a  
2 plethora of other services.

3 Our agencies are also in the drought fight, and  
4 Fresno EOC jointly organized the Central Valley Drought  
5 Coalition, a public-private partnership, which raised  
6 close to half a million dollars to fight drought and  
7 provide resources that did not exist previously. So  
8 we're really using that to leverage. California's  
9 community action agencies have also embraced social  
10 enterprise. In Ventura the cap agency there has --  
11 would you think -- a kayak business to really support  
12 that recreational community down there, and so they're  
13 able now to hire people. But not only have our agencies  
14 embraced social enterprise but we have created community  
15 development financing institutions, which will provide  
16 those low-interest loans to potential entrepreneurs  
17 because we understand that entrepreneurism is a clear  
18 path out of poverty.

19 CSBG is a lifeline for California's most  
20 vulnerable populations, and our association and our  
21 members are fortunate to have partners like Director  
22 Stout and her team. I have served as a director of  
23 state of community -- community services for another  
24 state so I understand her world. And to have a great  
25 team to work with, who is, quite frankly, is just as

1 committed to alleviating poverty as well as any  
2 advocate, so we're very fortunate to work with Director  
3 Stout and her staff, and we thank you so much for this  
4 time to share with you.

5 CHAIRMAN CHU: All right. Thank you very  
6 much for the good report.

7 Any questions, Senator?

8 How about Assemblywoman Lopez?

9 MS. LOPEZ: I'm fine.

10 CHAIRMAN CHU: All right. Good. Thank you.  
11 Okay. That concludes the first action.

12 Next up, we have a couple of the funded agencies,  
13 three of them, and we have Mr. Terry Coltra and  
14 Ms. Hermalinda Sapien and Mr. Poncho Guevara.

15 Please come up, and I'll let you decide who  
16 starts first.

17 Go ahead.

18 MS. SAPIEN: I'll go first.

19 CHAIRMAN CHU: All right. Thank you,  
20 Hermalinda.

21 MS. SAPIEN: Again, I'm Hermalinda Sapien,  
22 and I am President and CEO of Center for Employment  
23 Training, CET for short. Thank you, Chairman Chu and  
24 Chairman McGuire, Assemblywoman Lopez for having us here  
25 this afternoon. Center for Employment Training, CET, is

1 one of the four agencies funded to serve migrant and  
2 seasonal farm workers, and to give you a little bit of  
3 context, CET was founded in 1967 in San Jose, and it was  
4 started specifically to train farm workers who were  
5 being displaced by the new technology, the electronics  
6 industry. Farm workers were not able to get employment  
7 in the new industry because they didn't have the skills  
8 to apply for those jobs, and so CET was created. Since  
9 then CET has become a national program. In California,  
10 we have 13 centers operating in -- two in San Jose,  
11 Sacramento, San Benito, Santa Cruz, Monterey, Santa  
12 Barbara, Ventura, San Diego, San Bernardino, Riverside  
13 and Imperial Counties. The services that we provide are  
14 in job training with assistance of supportive service as  
15 well as GED, English as a Second Language, and other  
16 adult education services. We have transported farm  
17 workers. It's original center in San Jose, so we  
18 transport farm workers from as far south as King City on  
19 a daily basis, and we train about a hundred farm workers  
20 in our center. We also have a center, two centers, in  
21 Monterey County, Soledad, and Salinas.

22 In meeting with -- in the public hearings that we  
23 held in our various areas, the main needs that were  
24 uncovered were transportation, assistance with  
25 utilities, jobs, housing, food and health. Those are

1 the, the needs that top the list of needs that the  
2 community gave us input on. One of the projects that we  
3 are successfully conducting is with discretionary  
4 funding, and that is to train youth in job training, the  
5 different trades that we offer as well as health  
6 occupations and with intense counseling to make sure  
7 that we have a high success rate because with youth, you  
8 need to really intensify the counseling, the job  
9 preparation, and all that.

10 In looking at what we're doing with the drought,  
11 we are currently assisting, or will be assisting, a  
12 total of a hundred and 50 workers affected by the  
13 drought. Forty will be placed in training, again, with  
14 all the other services that we offer in support of  
15 training as well as 113, who will be placed in sites for  
16 real work doing public works. The CSBG money is great  
17 leveraging funding. We're able to generate financial  
18 aid, Department of Labor, private funding from  
19 foundations, et cetera, and so we really thank the  
20 committee for hearing about our services, and we hope to  
21 continue doing our work.

22 CHAIRMAN CHU: Well, thank you very much,  
23 Director.

24 Any questions from, Senator?

25 CHAIRMAN MCGUIRE: No. I got to go vote and

1 be right back.

2 CHAIRMAN CHU: Okay. Senator will have to  
3 go take a vote on transportation meeting and be right  
4 back.

5 So shall we move on. Any questions, Ms. Lopez?

6 MS. LOPEZ: No. I just wanted to comment on  
7 the great job that we're doing for the youth and  
8 training. I'm really impressed. Thank you so much for  
9 your support.

10 MS. SAPIEN: You're very welcome.

11 CHAIRMAN CHU: And I have to testify, their  
12 culinary program is one of the best in San Jose.

13 MS. SAPIEN: Thank you.

14 CHAIRMAN CHU: All right. Next up.

15 MR. COLTRA: Yes. Good afternoon, Chairman  
16 Chu, and Senator McGuire just left. He's my senator.  
17 My name is Terry Coltra. I'm the executive director of  
18 the Northern California Indian Development Council. And  
19 I thank you for the opportunity to address the committee  
20 today. Community Service Block Grant Program has been a  
21 staple of our operation for many years. We provide  
22 services to a hundred and six tribes and 57 counties  
23 throughout the state for off-reservation Indian people,  
24 and we do that through a network of subcontractors and  
25 direct assistance. We contract with at least 80 tribes

1 per year out of those hundred and six. Some of them  
2 utilize their money for other types of endeavors because  
3 they -- they're doing well with some of their other  
4 businesses, et cetera. We also have been able to  
5 leverage the CSBG money -- we started off in 1976 as an  
6 education program and we're -- actually, we're named as  
7 a Native American grantee by the Department of Labor.  
8 We have been a Department of Labor contractor since 1977  
9 and continue to provide employment training services to  
10 14 tribes and four counties in northern California,  
11 Humbolt, Del Nor, Siskiyou, and Trinity. We also  
12 provide response activities for the statewide programs  
13 actually on or near reservations. Whenever there is a  
14 loss of employment on or near a reservation, we go in  
15 and assist with retraining and linking the tribal  
16 entities with the local workforce development boards  
17 that have dislocated worker money. We also provide  
18 national emergency grants, programs. Whenever there's a  
19 disaster in California, the Employment Development  
20 Department comes to us, and we go to work as a secondary  
21 provider of clean-up services. In 2010-11, we served  
22 about 610 individuals, sent a little over \$10 million in  
23 cleaning up down in southern California, the storms. We  
24 provide Indian education programs in Del Nor County, and  
25 we also have community wellness programs.

1           Most currently, we're in fires. We're assisting  
2 with bringing air filtration systems into homes of  
3 Indian people that are living along the Klamath corridor  
4 and in Lake County. We have recently spent quite a bit  
5 of money buying the filters that are approved by the CDD  
6 for smoke filtration, and we're actually in the process  
7 right now of looking for additional dollars for that.

8           In 2010, we did a survey with the assistance of  
9 the California endowment in regard to boys and men of  
10 color, specifically American Indian boys and men of  
11 color, to find out what, what the economic and social  
12 difficulties are that are holding them back from being  
13 employed, having decent jobs, and also having an  
14 economic future. That study showed us that we could --  
15 we needed to provide them with more employment training  
16 education and, and real jobs and job training. Along  
17 with that CSD, California department -- CSD provided  
18 additional funding for us to do that survey. And then  
19 since then, they have provided the discretionary funds  
20 that we have been addressing -- some of those issues  
21 that we found, such as low rates of employment,  
22 education, and, and actual parenting. And in fact, the  
23 most recent program that we have initiated and funded by  
24 discretionary funds, CSBG funds, is a childhood poverty  
25 reduction program. Basically, what we're looking at is

1 over the years, for decades, Indian people were sent to  
2 various schools, boarding schools, and during that time,  
3 parenting became a non-valued process because the  
4 children were taken away at a very young age, and then  
5 they came back to the reservation many years later. So  
6 there wasn't parenting. We're finding that -- one of  
7 the things we found in that survey was the kids said,  
8 "We want parents. Parents that will tell us what to do.  
9 Parents that will feed us." What we're working on right  
10 now is some parenting classes and financial classes for  
11 parents and also some nutrition classes.

12 So overall, the Community Service Block Grant  
13 program has been very positive for Indian country. We  
14 have been able to do an awful lot including start  
15 daycare centers, libraries, et cetera. So I appreciate  
16 the opportunity to speak with you today and thank you  
17 for the -- that.

18 CHAIRMAN CHU: Thank you for the report.  
19 Thank you for your work.

20 And last but not least, Poncho.

21 MR. GUEVARA: Council member Chu -- sorry --  
22 Chairman Chu. So used to that relationship that -- that  
23 relationship that we have had over the -- for many  
24 years. It's an honor to be here before you and the  
25 other members as well.

1           My name is Poncho Guevara. I'm the executive  
2 director of the Sacred Heart Community Service in San  
3 Jose, California, and I just want to share a little bit  
4 about the work that we do as a community action agency.  
5 We actually were formed actually 51 years ago in the  
6 same neighborhood where CET is also located and we  
7 started out as a grassroots organization helping to meet  
8 the needs of our community out of our founder's home  
9 trying to reach out to folks and getting people in the  
10 community involved. What has developed has been a  
11 multi -- not only a multi-service organization but one  
12 that actually tries to approach the breadth of the  
13 impact of poverty on a community that's really  
14 struggling in the heart of the Silicon Valley.

15           I'll get to what we do in a minute but to talk  
16 about somebody I met about a month ago. See, Nancy had  
17 come to our doors and was among a long line of people  
18 that actually showed up to actually register her kids  
19 for our back to school supply program. And so she had  
20 a -- she came up to me and she was saying, "Hey, I'm  
21 really excited. I recognize you. I saw you at City  
22 Hall last year," and she said, "I want to tell you that  
23 I won the lottery, and I'm so happy." I'm like, "Nancy,  
24 if you won the lottery, why are you here?" "No, you  
25 don't understand. I was able to win a housing lottery,

1 and now I'm living in an affordable housing complex, and  
2 it makes a big difference, and I'm excited about the  
3 work with you all in terms of making it happen for other  
4 people." I still didn't, kind of, understand what was  
5 happening. She explained to me that about five years  
6 ago, during the great recession, she had come to us for  
7 some help to actually register her kids for toys and  
8 also for holiday food boxes because she had lost her  
9 job -- or actually she hadn't lost her job, her hours  
10 were cut. She was working full-time, and she was living  
11 out of her car, and her kids were living with her  
12 mother, and so she wanted to get back with them. She  
13 put herself on a bunch of affordable housing waiting  
14 lists and hadn't had the opportunity to be able to  
15 structure that. So she was getting basic assistance,  
16 getting some additional things, but the way that she was  
17 treated by the organizations, the breadth of the work  
18 that we were doing, and the fact that she was invited to  
19 participate in our job link program, which helped her  
20 work on her assets, work on getting a better job, she  
21 was able to get a second job, and be able to help  
22 make -- some of those needs met and then got her on a  
23 path and got some mentorship that she needed, registered  
24 one of her three kids into our homework club program and  
25 learned a little bit more about parent education, about

1 how she can be a better parent, like in terms of  
2 advocating for her kids, even though she wasn't with her  
3 kids physically, living out of her car, living on  
4 couches, and doing that kind of thing. That combination  
5 of things made her feel stronger, made her feel  
6 supported. And as heartbroken as she was to not be able  
7 to provide for her family, she felt like that was an  
8 environment of people that actually cared with her,  
9 connected her with other resources both within our  
10 organization but within the network of other  
11 organizations that she was -- she felt that she had a  
12 partner in this. She was not alone. She saw the value  
13 of other people in her community reaching out to help.

14           So last fall, she recognized me because she was  
15 involved in coming to a council hearing where we were  
16 fighting for affordable housing for other people, and we  
17 won that and we were instrumental in helping move that  
18 forward. And then a few months later, she actually won  
19 a housing lottery, and she was able to get affordable  
20 housing and she's living with her family for the first  
21 time. She's working two jobs still but she -- what she  
22 experienced in that moment was really, really amazing  
23 because she realized that she can make it. She can have  
24 a voice in changes that are happening in her community.  
25 She was still working hard, doing everything just to get

1 her family -- life is not easy for her. She still needs  
2 to get school supplies for her kids through Sacred  
3 Heart, but there's, there's hope and there's opportunity  
4 and there are things that are happening despite the  
5 great recession, despite the increases that we're seeing  
6 in terms of the cost of living in a community that's so  
7 expensive like Silicon Valley.

8           So all those things are, kind of, telling us a  
9 little bit about what we do and what the Community  
10 Service Block Grant does for us. You see, Sacred Heart  
11 does three things; provide essential services  
12 stabilizing families with food, clothing, emergency  
13 financial, utility assistance, and home weatherization  
14 programs. We do things that help people on their path  
15 with self-sufficiency, like education, helping people  
16 find employment, helping people manage their assets,  
17 access to public benefits, and Earned Income Tax Credit  
18 and other programs that are designed to help folks in  
19 terms of a nutritional self-sufficiency by urban  
20 gardening, backyard gardening and getting them some of  
21 the tools that they can actually live a healthier  
22 lifestyle and be able to connect with others in that  
23 process, and also breaking the cycle of domestic  
24 violence, providing support groups and other systems to  
25 try to stabilize families and overcome some of these

1 challenges that they face.

2 But the other leg of Sacred Heart, beyond those  
3 programs, is that community volunteers, that opportunity  
4 for people to get involved, volunteers from all walks of  
5 our community. Last year alone, we had nearly 10,000  
6 volunteers that came to Sacred Heart that actually  
7 helped serve the community and help, you know, touch  
8 lives of so many different people. And then also  
9 getting involved in policy change and having a voice in  
10 issues that are impacting their community whether it's a  
11 senior services or affordable housing or immigration or  
12 other types of issues, these are things that they're  
13 working on day in and day out. But as we serve all of  
14 Santa Clara County -- and last year alone we served over  
15 70,000 men, women, and children that came to our  
16 doors -- to be able to access a variety of different  
17 services and programs, the thing that the Community  
18 Service Block Grant has really allowed us to do a couple  
19 of really critical things. We're one of the newest  
20 community action agencies in the state in -- actually,  
21 in the nation. We were selected to become a community  
22 action agency for Santa Clara County among -- after our  
23 existing community action agency went under -- like  
24 about 2007 I think it was. And so that was a huge  
25 challenge and a huge blow for our community, but Sacred

1 Heart stepped up to the plate, and we became the  
2 community action agency. And through the great  
3 recession, we not only doubled our size, we're serving  
4 like 30 to 38 thousand people a year. 2010, 2011, 2012,  
5 we're serving over 8,000 individuals and -- through some  
6 of those basic needs that I mentioned but it also  
7 allowed us to be able to innovate, to take a look at our  
8 program and be able to say, "How can we make a deeper  
9 impact in people's lives," through some programs that  
10 were targets. But also -- the thing about Sacred Heart  
11 is we do things up scale, serving tens of thousands of  
12 people in need and looking at reinventing what we're  
13 doing around our asset building work, we're doing job  
14 placement and helping people with resumes and other  
15 things and direct placement into jobs. But we looked at  
16 credit counseling, we looked at financial education, we  
17 added an EITC program that we have only been running for  
18 three years. And now we're the largest site in Santa  
19 Clara County processing nearly \$2 million in returns  
20 this year alone, 1600 folks that we have provided  
21 assistance through, and that didn't exist, and that was  
22 done through a network of volunteers, highly trained  
23 volunteers. And we're continuing that work to help  
24 immigrants that are actually working through that  
25 process as well.

1           And then doing other types of things around  
2 regional collaboration, homelessness prevention,  
3 expanding the network, working with other sister  
4 organizations throughout our community and leveraging  
5 those funds, federal dollars, philanthropic dollars,  
6 corporate dollars, those kinds of things, have continued  
7 to grow exponentially in our wake as we serve more than  
8 twice as many people.

9           And the last element that's been really critical  
10 is the idea of engagement, looking at our community as  
11 having lots of assets. We're an organization that  
12 really served people in need and met some of the basic  
13 needs but looking at them as partners in that change  
14 that we want to see happen in our community through  
15 people that have a voice in their community around  
16 policy change and also volunteering and engaging others  
17 has been a huge thing that we've been able to do as a  
18 community action agency. It's been nothing short of  
19 transformative, and that's where the needs assessment  
20 and the work that we have done has really played a big  
21 difference, getting people involved in all of these  
22 issues, whether it's housing, homelessness, food,  
23 education, parent engagement, immigration, and  
24 relationships between law enforcement to decrease crime  
25 and be able to work through and bridge those gaps has

1 been a critical force. And it's one we have been proud  
2 to be a partner with the state and it's been an honor to  
3 actually be -- to be a community action agency and be  
4 able to represent our community in new and different  
5 ways and that wouldn't have been possible without these  
6 funds. So it's an honor to be here, and it's an honor  
7 to see your leadership and look forward to any questions  
8 that you may have.

9 CHAIRMAN CHU: Well, thank you very much for  
10 coming up this way, and I really appreciate that you can  
11 leverage the scarce public money with that many hours of  
12 volunteer hours is really, really great.

13 Any questions, Assembly Member Lopez, for any one  
14 of the panelists?

15 MS. LOPEZ: No. Just excellent job and  
16 I'm -- I just say excellent job that you do it. And I  
17 really know the -- I know the community do agree.  
18 Amazing job. Thank you for all you do.

19 MR. GUEVARA: Thank you.

20 CHAIRMAN CHU: All right. Thank you very  
21 much.

22 And with that, open for public comment. And if  
23 any members want to speak, please come forward. We'll  
24 ask the witnesses from the public, please limit your  
25 comments to three minutes.

1           And while we're waiting for the witnesses to come  
2 up, I want to take a personal privilege to introduce my  
3 wife, who is sitting in the audience.

4           MRS. CHU: Thank you.

5           CHAIRMAN CHU: All right. Do we have  
6 microphone for -- come here. Sit at the desk. And  
7 please state your name and affiliation.

8           MS. TIMBERS: Okay. Hi. Thank you for  
9 having us, Chairman Chu, and, Ms. Lopez, thank you. My  
10 name is Linda Timbers, and I'm with Project Go, which is  
11 the community action agency in Placer County. It's just  
12 up the road here from Sacramento and goes all the way up  
13 to beautiful Lake Tahoe, and believe it or not, we have  
14 a lot of low-income people in Lake Tahoe. Our  
15 population in Placer County is a little over 300,000,  
16 and over eight percent of our population is low-income,  
17 one of the most wealthiest counties in the state, but we  
18 have our share of low-income people.

19           Project Go became a community action agency only  
20 three years ago, so we are the latest and the greatest.  
21 The county provided the services of the block grant in  
22 prior years, and they gave it up three years ago, and so  
23 we took over. I just want to give you some numbers  
24 really quickly on what we have accomplished in three  
25 years. We have provided supportive services to over

1 26,000 individuals, of which 824 were homeless who were  
2 helped with shelter, food, clothing, medical assistance,  
3 and transportation. Over 700,000 boxes of food were  
4 distributed to individuals and families, and several new  
5 community gardens were establish to provide fresh,  
6 organic produce to be included in those food boxes.  
7 Over 4500 rides were provided to people in need of  
8 transportation. About 600 people were provided with  
9 emergency protection from violence including housing  
10 them in safe shelters. Project Go is a developer and  
11 property manager and owner of several apartment  
12 complexes in Placer County providing affordable housing  
13 to about 400 low-income seniors and families, of which a  
14 hundred and fifty of those seniors, a hundred and  
15 seventy individuals with disabilities and a hundred and  
16 21 of the families meet the hundred percent of federal  
17 poverty level and qualify for CSBG funding.

18 We have had over 97,000 hours of donated  
19 volunteer services, time, energy, and expertise. We  
20 have established linkages throughout the county with all  
21 of the community organizations, the county government,  
22 city government, the Cal Works programs; you name it,  
23 we're in there. We're partnering and sharing resources.  
24 It really was a challenge to become a community action  
25 agency. We had to increase our board size, comprised of

1 the tripartite as Ms. Stout mentioned earlier. So we  
2 have a twelve-member board, four of which are low-income  
3 representatives from the county and four are government  
4 and four business. So that was a big switch because we  
5 have had a five-member board prior to that. So that's  
6 been quite a challenge. Thanks to CSD and CalCAPA, we  
7 were provided with the technical assistance and training  
8 that we needed to get up and running. We had to change  
9 our bylaws. We had to come up with new mission  
10 statements and just, a lot of work in order to get up to  
11 speed. But we're doing it, we're loving it, and we're  
12 very excited to continue with what we're doing, and we  
13 thank you for the opportunity to share our success.

14 CHAIRMAN CHU: Great. Thank you, Linda, and  
15 next.

16 MR. ANDRADE: Hi, Chairman Chu. My name is  
17 Ron Andrade. I'm the director of Los Angeles  
18 City-County American Indian Commission. I was here  
19 three years ago at the last community meeting, and I  
20 said the same thing; we have had so much trouble with  
21 CSD. They keep messing around with us and ignoring our  
22 contracts. So we're asking -- in the interest of time,  
23 I'm going to go right to the end of the testimony. I  
24 provided copies of my testimony and our annual report.  
25 We're just wanting you, committee, to have a joint

1 hearing with us to get our contract clarified because  
2 CSD can't read the contract. I have a deputy attorney  
3 general on my board, and he said, "Why can't they read  
4 your contract?" I said, "I don't know. They can't read  
5 it." And they just say, "Ignore the state contract.  
6 Ignore the wording, and do what we tell you," and we  
7 said, "That's not contract." I went to law school. I  
8 have a state attorney general on our commission, and he  
9 said, "That ain't contract." You have to follow the  
10 state contract. We service 16,000 Indians per year in  
11 the County of LA alone, only in LA. Yet, state CSD  
12 said -- and contradicted what you said, Mr. Chairman,  
13 and as well as what Mr. McGuire said -- CSD said,  
14 "Poverty in LA has gone down." We said, "That's a bunch  
15 of bull. That's a lie," and they said, "Well, too late.  
16 You brought up new statistics, and it's too late for us  
17 to change our allocation procedures," and yet, you said  
18 it and Mr. McGuire said it; 25 percent of almost all --  
19 especially minority children live in poverty. We told  
20 state CSD that. We said, "25 percent of all Indians in  
21 LA County are below the poverty level," and they said,  
22 "Too late. We don't care." So they took a hundred and  
23 five thousand dollars away from our budget. We only get  
24 361. So they cut us down, and we said, "You're going to  
25 really gut our programs." What we did instead is I just

1 laid off everybody who worked for me, and we made it  
2 through. Of course, I only had one person working for  
3 me, so it was easy. She wasn't happy, but the fact is  
4 we could sustain a hundred and five thousand. I'd like  
5 to see any other cap take a hundred and five -- or a  
6 one-third, a one-third reduction. That's what we  
7 suffered because CSD said, "Too late."

8           And so now what we're doing is we're having the  
9 same fights. So I'm back again saying, "Please help us  
10 get this resolved." You know, we're -- legally, we're  
11 trying to adhere to the contract. Legally, we're trying  
12 to say that this is the way the contract wording is done  
13 by the state legislative council. Except CSD says to  
14 us, "We'll tell you what it says," and we said, "No.  
15 No, that's not the way it works because if you say how  
16 it works and I do something wrong, then I'm libel to be  
17 charged with malfeasance." They said, "We want to hear  
18 from the state legislative council." So we'd appreciate  
19 it if the committee would just call a meeting with CSD,  
20 with us, and some of the Indian tribes and bring us here  
21 to Sacramento and say, "We're going to sit down and go  
22 through these contract terms, and what is the problem?"  
23 And our deputy attorney general will come with me  
24 because he's an official with the commission and he sits  
25 on the commission, but this is the second time we've had

1 to come up. And I don't mind seeing you all. I mean,  
2 it's not like I'm mad about that, but the fact of it is  
3 that we just don't think it should have to be done. We  
4 do have a big Indian community in LA County.  
5 Unfortunately, as I said, 25 percent of them live below  
6 the federal poverty level.

7 And, Mr. Chairman, I know it sounds -- I don't  
8 like to really talk about how old I am, but I worked  
9 with the administration when we created CSBG. I was on  
10 the Indian committee in Washington DC. We negotiated  
11 with the White House, and so I have been around CSBG, in  
12 some people's minds, a little too long, but I have been  
13 around from the beginning, and what we have seen is a  
14 slow erosion of CSBG because some of the states now are  
15 just saying, "Well, we are in control, and we'll just do  
16 as we please."

17 So we'd appreciate it if the committee would just  
18 work with us, have a meeting, let us sit down, and if  
19 you guys say, "No, Ron, you are wrong in your reading of  
20 the law, and this is the correct reading," we'll comply.

21 CHAIRMAN CHU: Okay. Great. Thank you.  
22 Thank you, Ron. I'll be happy to facilitate a meeting,  
23 but again, today's meeting, we're concentrating on  
24 Community Service Block Grant State plan.

25 So is there another testimony? Please come

1 forward.

2 Thank you, Ron.

3 Do we need to set up a special microphone, or can  
4 you use the microphone on the end.

5 Go ahead, sir.

6 MR. TURNER: Good afternoon, Mr. Chairman,  
7 and committee members. My name is Dennis Turner. I'm  
8 the executive director for the southern California  
9 Tribal Chairman's Association. Our association covers  
10 from the Santa Barbara County down to San Diego, over to  
11 Yuma, Arizona territory up to the Colorado River. We  
12 provide services for 23 of the 32 tribes in southern  
13 California. It includes everything from, like, fire  
14 department, law enforcement to -- we have contracts with  
15 the state here concerning the development of the 2050  
16 plan with Caltrans, the County of San Diego, Imperial  
17 County, and what I'm trying to do is just give you some  
18 really quick history, although, we do have a website and  
19 you can -- we have a monthly video magazine about our  
20 organization, what we do in our communities in southern  
21 California. But for the last, I guess, 40 years that we  
22 have been an organization, we've always tried to let our  
23 tribal nations run our programs. And in previous -- 20  
24 years since we have had CSBG funding through the state,  
25 it's been funded through another organization. This

1 year in 2015, our board of directors voted that they  
2 wanted to come to the state and have a state  
3 relationship like we do with the cal -- the Cal Works  
4 program, the Caltrans program, the state library  
5 program, and the other state programs that we have, and  
6 over 12 federal programs that we contract, including  
7 each State Bureau of Indian Affairs, and we do all of  
8 them, too. And our reason for doing this is because we  
9 can do direct services as we do today, the organization  
10 currently that does do it with us, we don't have any  
11 problems with it, what they do, and how they do their  
12 service, but our board of directors voted to. We barely  
13 found out about the hearing. Unfortunately, we're so  
14 busy down there, we're actually getting to the point  
15 where we need to slow down so we can pay attention to  
16 this very important issue because community development  
17 and community planning is one of the goals of our  
18 organization. So I just want to stop there. If you  
19 have any questions, I'll be happy to answer them.

20 CHAIRMAN CHU: Great. Thank you very much,  
21 Dennis.

22 And next, we'll have -- would you please  
23 introduce yourself and your affiliation.

24 MS. CALDWELL: Sure. So my name is Jen  
25 Caldwell, and I'm talking on behalf of Jacob Atteberry.

1           What do you do Jacob?

2           Finance committee for disabilities in San Jose  
3 and I'm here for Cheryl Hewitt.

4           I -- for services for -- I want to talk about  
5 services for the developmental with disabilities and the  
6 lack of.

7           What else, Jay?

8           Go ahead, Jay.

9           There are -- there are a lot of issues. There  
10 are places that are being closed because of not --  
11 because they are not meeting the heading. We feel  
12 frustrated, and it's hard to get a lot of services that  
13 I need. Thank you.

14           CHAIRMAN CHU: All right. Great. Thank  
15 you. We're definitely aware of the problem. Thank you  
16 very much for coming to testify.

17           One more witness. Please come forward.

18           MS. STIRES: Hi. My name is Sonja Stires,  
19 and I'm director of government relations for the  
20 Salvation Army's work in California and still gathering  
21 information on exactly how many of the CSBG grants we  
22 have, but I do know that it is a critical piece of  
23 funding for many of our units throughout the state. We  
24 serve in all counties of California whether we have a  
25 unit or, what we call, a service extension unit and

1 provide housing as well as food and shelter and  
2 assistance, emergency assistance, as well as programs  
3 for vulnerable youth. And those are just a number --  
4 you know, just some of the programs that we provide and  
5 how the CSBG funding is helping to support the  
6 individuals that come through our program. So just want  
7 to say that the Salvation Army, as we are throughout the  
8 State of California, would be more than happy to  
9 participant in conversations. We have a lot of thought  
10 leaders, individuals that have great experience serving  
11 directly in the field and in an organization that has  
12 some really strong ties in the community. Thank you.

13 CHAIRMAN CHU: Great. All right. Thank  
14 you.

15 Any additional witnesses?

16 Staff, do you have any comments?

17 Ms. Lopez?

18 MS. LOPEZ: Yeah. Just want to see if  
19 maybe --

20 CHAIRMAN CHU: Your microphone, please.

21 MS. LOPEZ: Yes. I just want to maybe do a  
22 follow up for the, the -- that make the comments. I  
23 just wanted to -- if you can leave contact information  
24 at the end of the meeting.

25 CHAIRMAN CHU: All right. Great. Well,

1 thank you again. Senator McGuire, he didn't, obviously,  
2 make it back from his Transportation Committee, but  
3 Assembly Member Lopez, the Department, and the  
4 panelists, and the public for attending this hearing  
5 today. It has been very useful to hear about how those  
6 federal money, federal grant are used to provide  
7 services to low-income Californians and their families  
8 in a way that is responsive to specific local needs as  
9 well as to dire circumstances. Like the drought, they  
10 are faced by the entire state. So thank you very much,  
11 and with that, I'll conclude today's hearing.

12

13 (Whereupon the proceedings concluded at 2:22 p.m.)

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1 I, Brittany Flores, a Certified Shorthand Reporter of  
2 the State of California, duly authorized to administer  
3 oaths, do hereby certify:

4 That the foregoing proceedings were taken before me  
5 at the time and place herein set forth that any  
6 witnesses in the foregoing proceedings, prior to  
7 testifying, were duly sworn; that a record of the  
8 proceedings was made by me using machine shorthand which  
9 was thereafter transcribed under my direction; that the  
10 foregoing transcript is a true record of the testimony  
11 given.

12 Further, that if the foregoing pertains to the  
13 original transcript of a deposition in a Federal Case,  
14 before completion of the proceedings, review of the  
15 transcript ( ) was ( ) was not requested.

16 I further certify I am neither financially interested  
17 in the action nor a relative or employee of any attorney  
18 of party to this action.

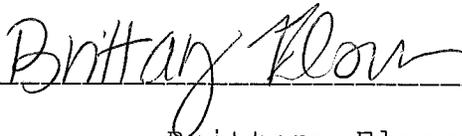
19 IN WITNESS WHEREOF, I have this date subscribed my  
20 name.

21

22 Dated: August 27, 2015

23

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Brittany Flores CSR 13460

# PLUMAS COUNTY COMMUNITY DEVELOPMENT COMMISSION

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Plumas County Community Development Commission and Housing authority (PCCDC) on behalf of the Lassen-Plumas-Sierra Community Action Agency Tri-Partite Board, submits its comments to the Draft California 2016-2017 CSBG State Plan and Application.

PCCDC believes Section 14.3a.676(b)(3)(A) of the State Plan represents a very accurate and realistic approach to California Community Action Agencies in general in that it specifically recognizes that small rural community action agencies may not be able to operate under a single service delivery system.

PCCDC urges the state to consider a similar approach to Section 13 of the State Plan, Results Oriented Management and Accountability (ROMA) System.

There needs to be state recognition that there are small rural Community Action Agencies that do not have the resources to work extensively with a certified ROMA trainer, nor do they have the resources to do extensive ongoing staff development training.

A case in point is our own Community Action Agency, the Lassen-Plumas-Sierra Community Action Agency. PCCDC is the agency and staff for the Lassen-Plumas-Sierra Community Action Agency. Agency personnel to administer the Community Action program amount to approximately .5 (one-half) FTE including the Executive Director, Deputy Director, Finance Director and one staff person. Organizational Standard 7.9 requires the CAA to conduct or make available staff development/ training including ROMA on an ongoing basis. Additionally, Organizational Standard 4.3 requires involving a ROMA trainer (or equivalent) in the course of ROMA-cycle activities such as the community assessment, strategic planning, data and analysis.

While the ROMA standards are part of a uniform state-wide operating system which represents a national system of goals under which all community action agencies should operate, there needs to be recognition that small community action agencies are not in a position to expend extensive staff time on ongoing ROMA training or expending limited resources on paying for the ongoing services of a certified ROMA trainer. While we recognize the State has certified ROMA trainers available to work with local CAA agencies, it simply would not be feasible to send the entire executive staff three hours to Sacramento for ongoing training, nor would it be feasible for the state to send certified ROMA trainers three hours away on a regular basis to work with smaller agencies.

We believe the State Plan needs to recognize that small rural Community Action Agencies, while operating under the ROMA standards, must have an exemption from the extensive ongoing ROMA training and ongoing work with a certified ROMA trainer. Such requirements would take key executive personnel away from work on other programs and would significantly increase administrative costs of administering the Community Action Agency programs. The Lassen-Plumas-Sierra Community Action Agency Tri-Partite Board specifically wants to be heard on this issue and feels that if these requirements are going to be imposed on this and other small rural Community Action Agencies, the state needs to make additional administrative funds available to compensate the Agency for disproportionate staff time taken away from other programs which should not be, defacto, funding Community Action Agency administrative time. In addition, the Board wishes to convey its concern that excessive administrative time takes away from the Board's primary mission of providing funding to the needy.

August 25, 2015

Respectfully Submitted,



Roger Diefendorf  
Executive Director & General Counsel  
Plumas County Community Development Commission and  
Housing Authority

## **2016-17 California State Plan Hearing Public Comments and Responses**

Public comments submitted to CSD are incorporated in the Community Services Block Grant (CSBG) State Plan and Application. The following is a summary of the written and/or oral testimony received and CSD's response.

**1. Roger Diefendorf, Executive Director & General Counsel, Plumas County Community Development Commission and Housing Agency:**

There needs to be state recognition that there are small rural Community Action Agencies that do not have the resources to work extensively with a certified ROMA trainer, nor do they have the resources to do extensive ongoing state development training. We believe the State Plan needs to recognize that small rural Community Action Agencies, while operating under ROMA standards, must have an exemption from the extensive ongoing ROMA training and ongoing work with a certified ROMA trainer.

**CSD Response:**

CSD understands the challenges that small rural agencies may face with the limited resources available. CSD is committed to working collaboratively with all CSBG eligible entities to mitigate barriers to meeting the ROMA requirements of the Organizational Standards.

**2. Jen Caldwell on behalf of Jacob Atteberry:**

There is a lack of services for individuals with developmental disabilities, there are a lot of issues and places are closing. I am frustrated and it is harder to get needed services.

**CSD Response:**

CSBG funding is used to provide services to low-income Californians, including services to the disabled. The CSBG services are locally determined based on the identified need in each service area. The disabled are included in the vulnerable populations that receive services. In 2014 CSBG agencies provided services to 82,192 people with disabilities, which was a 26% increase from the prior year.

**3. Ron Andrade, Director, Los Angeles City/County American Indian Commission:**

Mr. Andrade, requested the committee to have a meeting with CSD to receive clarification on their contract.

**CSD Response**

CSD welcomes the opportunity to participate in a facilitated meeting with Mr. Ron Andrade, from the Los Angeles City/County Native American Indian Commission to clarify his concerns.

**CSD acknowledges all members of the public who provided comment on the CSBG State Plan and Application.**

**2016-17 California State Plan and Application**

**Attachment 4:**

**CSD California State Monitoring Procedures**

California Department of Community Services and Development

**Community Services Division  
Field Operations Unit**

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**Community Services Block Grant**

**Monitoring  
Procedures**



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The Community Services Block Grant Monitoring Procedures have been prepared by the Community Services Division, Field Operations Unit (FOU), to provide uniform procedures and guidance to FOU staff for the administration of the Community Services Block Grant Program.

## **PROGRAM OVERVIEW**

### **Federal Administration**

The Community Services Block Grant (CSBG) refers to the federal funds and program established by the CSBG Program in the Omnibus Budget Reconciliation Action of 1981 as contained in Public Law 97-35, as that law has been amended from time to time and as currently codified as Section 9901 et. seq. of Title 42 of the United States Code.

The CSBG Program is funded under the U.S. Department of Health and Human Services, Administration for Children and Families (ACF), Office of Community Services (OCS). CSBG funds are distributed to 50 states, U.S. Territories, Native American Indian Tribes and other organizations. CSBG activities are carried out by a national network of over 1,000 CSBG “eligible entities” which provide a diverse range of services for, and advocacy on behalf of, low-income individuals and families. An eligible entity may include a private nonprofit organization or public agency that operates one or more projects funder under the CSBG Program. By law, at least 90 percent of a State’s CSBG allocation must be allocated to local eligible entities.

### **State Administration**

California Government Code §12725 et seq. provides that the CSBG Program shall be governed by the principle of community self-help, thereby promoting new economic opportunities for Californians living in poverty through well-planned, broadly-based and locally-controlled programs of community action. It also provides authorization for the Governor of the State of California to assume responsibility for California’s CSBG Program and for the state to implement this block grant in conformity with the laws, principles, purposes and policies of the CSBG Program. The Governor has designated the California Department of Community Services & Development (CSD) as the lead Department for purposes of carrying out California’s CSBG activities and ensuring program compliance.

CSD’s current network of CSBG eligible entities consists of approximately 60 non-profit and local governmental organizations (Community Action Agency, Migrant Seasonal Farm Workers (MSFW), Native American Indian Program (NAI) and Limited Purpose Agency (LPA)) that receive CSBG funds. CSD’s eligible entities are required to conduct a needs assessment, develop a Community Action Plan, and offer services based on identified local needs.

CSBG funds result in innovative programs that address the leading causes of poverty as determined locally by community based organizations and promote the goals of self-sufficiency and independence among low-income individuals.

For example, CSBG funding supports projects that:

- Lessen poverty in communities
- Address the needs of low-income individuals including the homeless, migrant seasonal workers, youth and the elderly
- Provide access to early childhood programs
- Provide services and activities addressing employment, education, better use of available income, housing, nutrition, emergency services and/or health

Due to the unique CSBG requirements, services offered throughout the State will vary depending on the local needs assessment conducted in each community.

### Field Operations Unit Role

The FOU is responsible for ensuring each eligible entity (Agency) complies with CSBG federal and state laws, regulations, policies and contractual requirements. This is accomplished through several methods including, but not limited to, the following:

- Evaluating and approving Agency Community Action Plans, including goals, planned activities, work plans and budgets.
- Monitoring and evaluating Agency performance for compliance with provisions of applicable federal and state laws, regulations, policies, program guidelines and other contractual provisions.
- Planning and providing Agency training and technical assistance through individual consultations, written instructions, and webinars.
- Consulting with and otherwise advising CSD management and staff on policies and procedures that impact CSBG Program activities.

## **MONITORING PROGRAM OVERVIEW**

Pursuant to the CSBG Act (42 U.S.C. §9901 et seq.), Public Law Section 678B, CSD has responsibility to ensure CSBG Agencies carry out their programs in accordance with all applicable laws, regulations, policies and the executed contract.

The FOU's monitoring objectives are to determine if Agencies are:

- Complying with federal and state laws, regulations and policies.
- Carrying out their CSBG programs as approved by their CAP.

- Carrying out their CSBG programs in accordance with their Work Plan.
- Demonstrating a continuing capacity to carry out the approved programs.
- Requesting reimbursement only for approved budget costs.
- Needing additional training and technical assistance.

## **DESCRIPTION OF MONITORING ACTIVITIES**

The FOU monitoring activities occur year-round, in the FOU's office and at the Agency's site. Monitoring is conducted in collaboration with Agency staff and in a manner to assist Agencies with the most efficient and effective uses of federal funds to build capacity, improve service delivery, and achieve intended outcomes to serve low-income individuals and families.

Following is a brief description of the FOU's reviews and monitoring activities:

- A. Community Action Plans (CAP): Agencies must complete a Community Action Plan (CAP), as a condition to receive CSBG funding.

Agency CAPs are to be submitted biennially to the FOU by June 30. The CAP serves as the Agency's two year roadmap demonstrating how it plans to deliver services. It identifies and assesses poverty-related needs and resources in the community and establishes a detailed plan, goals, and priorities for delivering these services to individuals and families most affected by poverty. The CAP also identifies eligible activities to be funded in the program service areas and the needs that each activity is designed to meet.

The FOU's review of the CAP typically occurs during July and August. The Field Representative evaluates the CAP, including goals, planned activities, work plans, and other supporting documentation for completeness and compliance. The Community Action Plan Review Analysis (CSD 410) is used to complete the CAP review.

Following the Field Representative's review and acceptance of the CAP, a letter is sent to the Agency acknowledging receipt and acceptance of their CAP.

- B. Contracts: CSD enters into a Standard Agreement (contract), (STD 213), with Agencies receiving CSBG funds. The contract term is January 1<sup>st</sup> to December 31<sup>st</sup>. The contract, entered into after an Agency's CAP is accepted by the FOU, specifies the grant amount, scope of work, requirements, and other terms and conditions of the contract.

Development of the contract is a collaborative effort involving several CSD Units. The contract is sent to Agencies in October for review, signature, and return of several documents as stipulated in the contract

Following an Agency's return of the signed contract and required documents, the Contracts Unit forwards the Contract Package to the FOU. Upon receipt, the Field Representative prepares the contract file, and using the Contract Review Form, completes a thorough review/analysis of the Contract Package primarily for completeness, reasonableness, compliance, and accuracy. Following completion of this review, the Field Representative signs the Contract Review Tracking Sheet (CSD 473) and forwards the Contract Package to the FOU Manager for review. Upon completion, the Contract Package is returned to the Contracts Unit to obtain internal approvals of the contract and to distribute the executed contract.

- C. Pre-Monitoring Assessment (PMA): This is an in-house review process that is conducted annually, usually between January and March, and prior to the start of the monitoring season. Results of the PMA determine the type of Agency monitoring review (desk review or on-site visit) that will be conducted during the program year and identify early warning signs that could be mitigated before the Agency is in an at-risk situation.

The Pre-Monitoring Assessment Tool is used to perform the PMA. Issues identified during the PMA are discussed with the FOU Manager.

The completed Pre-Monitoring Assessment Tool is submitted to the FOU Manager for review.

- D. Desk Review: This is an in-house review process that is conducted annually for all Agencies, usually between April and October. The review assesses an Agency's overall capacity to administer their CSBG Program and determines whether the Agency has any training and technical assistance needs. The scope of the desk review includes an Agency's board governance, fiscal accountability, programmatic performance, and any open findings from previous monitoring reports. During the desk review, the Field Representative reviews various documents, such as expenditure and programmatic reports, board meeting minutes, bylaws, and prior monitoring reports. These documents are submitted during the contract term and are readily available to the Field Representative.

The Field Representative must coordinate with the Agency contact the actual dates of the desk review and provide the Agency with written confirmation approximately 30 work days in advance. The Agency must identify a key person that the Field Representative can contact during the review period to request information or follow up on questions.

The Desk Review Tool is used to perform a set of standard assessments.

Following completion of the desk review, the Field Representative completes a Desk Review Report. The Desk Review Report provides a summary of the desk review activities and includes any findings of non-compliance with statutory, regulations

and/or contractual requirements supported by the facts considered in reaching the conclusion(s). For each finding, the Field Representative identifies specific corrective actions by which the deficiency can be resolved and assigns due dates for the Agency to correct compliance-related deficiencies. Following the FOU Manager's approval, the final Desk Review Report is mailed to the Agency Executive Director and Board Chair within 60 calendar days of completing the desk review.

- E. On-site Monitoring Visit: Pursuant to the CSBG Act (42 U.S.C. §9901 et seq.), Agencies are required to have an on-site monitoring visit conducted once during each three (3) year period. A new CSBG eligible entity is required to have an on-site visit immediately after the completion of its first year after being designated as an eligible entity. The on-site monitoring visit is a more comprehensive review than the desk review. The purpose is to assess an Agency's overall capacity to administer their CSBG Program in compliance with laws, regulations, policies and contractual requirements. The on-site monitoring season runs April 1 through October 30.

The on-site monitoring visit is conducted at the Agency's location and typically takes between three (3) to five (5) work days to complete depending on several factors, such as Agency size and geographic location, funding amount, program complexity, and whether the Field Representative will attend a Board meeting during the on-site visit.

The on-site visit involves a partnership between the Agency and the Field Representative to assist with and ensure any compliance deficiencies are identified early and are corrected in a timely fashion. Agencies are expected to cooperate with the FOU by providing access to all programs, records, documents, resources, personnel, inventory, and other things reasonably related to the administration and implementation of the services and activities funded by the CSBG grant and by answering the Field Representative questions about the organization's daily operations relative to the program activities administered by the Agency.

Prior to scheduling the on-site visit, a Pre-Monitoring Assessment and Desk Review are completed. However, the Desk Review Report is not completed.

The Field Representative must coordinate with the Agency contact the actual dates for conducting the on-site monitoring visit. If possible, the visit is scheduled during the time of the Agency's Board meeting, to provide an opportunity for the Field Representative to attend the Board meeting.

Written confirmation is provided to the Agency at least thirty (30) calendar days in advance.

The On-site Monitoring Tool is used to perform a set of standard assessments and observations, which consists of reviewing fiscal, administrative and programmatic documentation; interviewing key staff and Board members; and observing programs and Board participation.

The on-site monitoring visit begins with an Entrance Conference with the Executive Director, finance manager, and anyone else the Agency deems appropriate. It provides the Agency with an overview of CSD's monitoring agenda as well as the purpose and scope of the on-site visit.

At the conclusion of the on-site monitoring visit, an Exit Conference is held typically with the Executive Director, finance manager, and anyone else the Agency deems appropriate. The Exit Conference provides an opportunity for the Field Representative to summarize his/her observations during the review and notify the Agency whether there are any potential findings of non-compliance as a result of the review.

Following completion of the on-site monitoring visit and return to the office, the Field Representative schedules a meeting with the FOU Manager, within three (3) work days, to discuss the outcome of the on-site visit. Additionally, the Field Representative completes an On-site Monitoring Report. This Report provides a summary of the on-site monitoring activities and includes any findings of non-compliance with statutory, regulations and/or contractual requirements supported by the facts considered in reaching the conclusion(s). For each finding, the Field Representative identifies specific corrective actions by which the deficiency can be resolved and assigns due dates for the Agency to correct compliance-related deficiencies. Following the FOU Manager's approval, the final On-site Monitoring Report is mailed to the Agency Executive Director and Board Chair within 60 calendar days of completing the on-site monitoring visit.

- F. Postsecondary Review (PSR): This is an in-house review that is conducted throughout the year. The PSR is an analysis of an Agency's expenditures as compared to the approved budget to identify and address low expenditures, budget line item overages, and/or zero reporting.

Agencies are required to enter, and certify the accuracy of, their monthly or bimonthly expenditure data, into CSD's Expenditure Activity Reporting System (EARS) by the 20<sup>th</sup> of each month following the expenditure report period regardless of activity.

The Field Representative completes the PSR in EARS as follows:

January – March Expenditures	Due: April 30
April – June Expenditures	Due: July 31
July – September Expenditures	Due: October 31
October – December Expenditures	Due: January 31

G. Mid-Year Programmatic Review (MPR): This is an in-house review process conducted in July and August.

Agencies are required to submit two reports to the FOU annually by July 20 covering their programmatic activities and client demographic information from January 1 to June 30:

- CSBG National Performance Indicators (NPI) (CSD 801)
- CSBG Programmatic Data - Client Characteristics Report (CSD 295)

The Field Representative reviews submitted reports by August 30 to determine whether an Agency is on target for meeting their Work Plan projections by the end of the contract term for the 16 NPI goals and to review the Agency's client demographic information.

H. Annual Report: This is an in-house review process conducted in January and February. Agencies are required to submit two reports to the FOU annually by January 20 covering programmatic activities and client demographic information from January 1 to December 31:

- CSBG National Performance Indicators (NPI) (CSD 801)
- CSBG Client Characteristics Report (CSD 295)

The Field Representative reviews these reports by February 20 to determine whether an Agency met their Work Plan projections for the 16 NPI goals and to review the Agency's client demographic information.

## **MONITORING FOLLOW-UP**

When findings are included in the Desk Review Report or On-Site Monitoring Report, the Agency is required to inform the FOU of the status of their corrective action plan. Upon receipt of the Agency's Monitoring Finding Follow-Up Status Report, the Field Representative conducts a review to ensure the Agency is progressing in resolving the finding(s). An Acknowledgment Letter is sent to the Agency within ten (10) work days of receipt of the Agency's report.

The Field Representative will take these additional steps:

- Track monitoring findings and conduct on-going follow up based on the timeframe established in the monitoring report.
- Whenever an Agency is not compliant with submitting the applicable status update(s), notify the Agency Executive Director by sending a Late Letter.
- Update SharePoint.

Pursuant to the CSBG Act (Section 678B, 678C, 42 USC 9914), unmet monitoring deficiencies will result in the FOU working more closely with the Agency to put in place an implementation plan, technical assistance plan, or quality improvement plan, as appropriate. Below are the definitions for:

- Implementation Plan: The Agency's "in process" plan to use internal resources to meet an unmet standard.
- Training and Technical Assistance Plan: Training and technical assistance provided by CSD and/or other organizations to address deficiencies that could be resolved within one year.
- Quality Improvement Plan (QIP): The corrective steps/actions that are to be taken, and by when, to address significant/serious deficiencies. The QIP is due within 60 days after being informed of the deficiency. The FOU is required to either approve the proposed plan or specify the reasons why the proposed plan cannot be approved; and after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding of the Agency.

Whenever deficiencies are not resolved in a timely manner, it may lead to the FOU conducting follow up reviews, including a return visit to the Agency and their programs that fail to meet the goals, standards, and requirements established by the State. Also, the FOU will make training and technical assistance resources available to the Agency as directed by CSD or requested by the Agency.

## **CLOSEOUT**

As required by Federal and State law, and thereby in each contract, CSD must assure that agencies submit a timely close-out package in an effort to bring closure to a contract and assure that any funds due either party are expeditiously processed.

Agencies are required to submit a contract close-out package to CSD within 90 days of the expiration of each contract but no later than March 31 of each year. The exception is when an Agency has an approved contract term extension.

The close-out of a contract does not affect:

- CSD's right to disallow costs and recover funds on the basis of a later audit or other review.
- The Agency's obligation to return any funds due as a result of later refunds, corrections, or other transactions.
- Records retention requirements.

- Equipment management requirements.
- Audit requirements.

The Field Representative completes a review of the Agency's close out package within five (5) work days and by no later than April 30. The review is an analysis of the reports and to determine completeness, accuracy of the documents prior to closing out of the grant. The Close-out Tool is used to complete the closeout process.

## **TRAINING & TECHNICAL ASSISTANCE**

Agencies must be familiar with CSBG laws, regulations, policies and program requirements. CSD is responsible for providing Agencies with a range of technical assistance and training in order to establish and maintain sound grants management and program practices.

The FOU serves as an official conduit of information, including laws, regulations, rules, and other official memoranda from funding sources to eligible entities. The FOU offers on-going support, training, and technical assistance, as requested or needed, to help Agencies provide services to low-income clients. Training or workshops are typically conducted prior to contract issuance and/or if necessary, for the development of Agencies' biennial Community Action Plan. Training and/or workshops may be regionalized (a North/South venue) or centralized (one workshop centrally located).

Training services are performed several ways, such as:

- A site visit to the Agency
- By telephone or Webinar
- Subject-specific regional training seminars

CSD enters into an annual contract with an association that specializes in helping CSBG Agencies increase their knowledge, skills, and capacities to fulfill their various missions. For example, through this association, Agencies may participate in network meetings to problem solve, attend conferences, receive specific training such as in building organizational capacity and community relations, and request technical assistance.

The CSD provider website offers information such as policies, trainings, informational bulletins and other important information for CSD's community service providers administering a CSBG program at: <http://providers.csd.ca.gov/>

Periodically, CSD participates in multi-state training, workshops, or conferences at the request of our funding sources. Field Representatives may be asked to participate as presenters, facilitators, and/or to provide on-site support.

## **CSD RECORDKEEPING**

The FOU is responsible for maintaining contract files, records, and relevant documentation consistent with federal requirements and CSD's Records Retention Schedule.

The Field Representative will maintain complete, organized, and standardized contract files.

**2016-17 California State Plan and Application**

**Attachment 5:**

**California GOV Code 12750.2 and 22 CCR §100780**

## **California Code - Section 12750.2**

For purposes of serving any area of the state in which community action programs cease to be provided, the director shall designate an organization in accordance with Section 9909 of Title 42 of the United States Code, as amended, and through a process that shall include all of the following:

- (a) Notice of intent to designate.
- (b) Request for proposals by any political subdivision or by any other qualified organization that can demonstrate adequate representation of low-income individuals in the development, planning, implementation, and evaluation of the community action program.
- (c) Invitation to the political subdivision to participate in the review of the proposals.

### **§ 100780. Denial of Refunding, Suspension and Termination of Contract Procedures.**

#### **22 CA ADC § 100780 BARCLAYS OFFICIAL CALIFORNIA CODE OF REGULATIONS**

Barclays Official California Code of Regulations [Currentness](#)  
Title 22. Social Security  
Division 11. Department of Community Services and Development  
Chapter 1. Community Services Block Grant Regulations

22 CCR § 100780

#### **§ 100780. Denial of Refunding, Suspension and Termination of Contract Procedures.**

(a) Purpose and Scope -This section establishes the rules and procedures governing the denial of refunding and the suspension and termination of contracts. This section shall not apply to any administrative action based upon any violation or alleged violation of Title VI of the Civil Rights Act of 1964. In case of such violations or alleged violations, the provisions of 45 CFR Part 1010 shall apply.

(b) Definitions.

(1) The term “termination” means the cancellation by the Department of state and or federal assistance in whole or in part, under a contract at any time prior to the time of completion.

(2) The term “suspension” means an action taken by the Department which temporarily suspends state and/or federal assistance under the contract, pending DEO's decision to terminate the contract.

## **Attachment 5: California GOV Code 12750.2 and 22 CCR §100780**

(3) The term “responsible Department official” means the Director, Deputy Director, or any other official who is authorized to make the contract in questions, or the designee of any of these officials.

(c) Failure to Comply with Contract Terms and Conditions.

When a grantee has materially failed to comply with the contract terms and conditions, the Department may suspend the contract in whole or in part.

(d) Suspension Notice.

(1) The responsible Department official shall notify the grantee in writing that the Department intends to suspend a contract, in whole or in part, unless good cause is shown why the contract should not be suspended. The notice shall specify the grounds for the proposed suspension, the proposed effective date of suspension and the grantee's right to submit written material in opposition to the intended suspension and of its right to request an informal meeting at which the grantee may respond with an attempt to show cause why such suspension should not occur. The period of time within which the grantee may submit such written material or request the informal meeting shall be specified in the notice of intent to suspend and shall be no less than 5 days after the notice has been sent. If the grantee requests a meeting, the responsible Department official shall set a time and place for the meeting, which shall not be less than 5 days after the grantee's request is received by the Department. In lieu of the right of the grantee to request an informal meeting, the responsible Department official may on his/her own initiative establish a time and place for such a meeting. In no event, however, shall such a meeting be scheduled less than 7 days after the notice of intent to suspend has been sent to the grantee. The responsible Department official may extend the periods of time or dates previously referred to and shall notify the grantee of any such extension.

(2) At the time the responsible Department official sends the notice of intent to suspend the grantee, he/she shall also send a copy of it to any delegate agency whose activities or failure to act are a substantial cause of the proposed suspension, and shall inform such delegate agency that it shall be entitled to submit written material or to participate in the informal meeting referred to in subparagraph (d) (1) of this section. The responsible Department official may give such notice to any other delegate agency.

(3) Within 3 days of receipt of the notice, the grantee shall send a copy of these regulations to all delegate agencies which would be financially affected by the proposed suspension action. Any delegate agency which wishes to submit written material may do so within the time stated in the notice. Any delegate agency that wishes to participate in the informal meeting may request permission to do so from the responsible Department official, who may in his/her discretion, grant or deny such permission. In acting upon any such request from a delegate agency, the responsible Department official shall take into account the effect of the proposed suspension on the particular delegate agency, the extent to which the meeting would become unduly complicated as a result of grantingsuch permission, and the extent to which the interest of the delegate agency requesting such permission appears to be adequately represented by other participants.

(4) In the notice of intent to suspend, the responsible Department official shall invite voluntary action to adequately correct the deficiency which led to the initiation of the suspension proceeding.

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(5) The responsible Department official shall consider any timely material presented to him/her during the course of the informal meeting provided for in subparagraph (d) (1) of this section, as well as any showing that the grantee has adequately corrected the deficiency which led to the initiation of suspension proceedings. If after considering the material presented to him/her, the responsible Department official concludes the grantee has failed to show cause why the contract should not be suspended, he/she may suspend the grant in whole or in part and under such terms and conditions as he/she shall specify.

(6) Notice of such suspension shall be promptly transmitted to the grantee and shall become effective upon delivery. Suspension shall not exceed a 30 day period unless during such period of time, termination proceedings are initiated or unless the responsible DEO official and the grantee agree to a continuation of the suspension for an additional period of time. If termination proceedings are initiated, the suspension shall remain in full force and effect until such proceedings have been fully concluded.

(7) During a period of suspension, no new expenditures shall be made by the grantee and no new obligations shall be incurred in connection with the suspended program except as specifically authorized in writing by the responsible Department official. Expenditures to fulfill legally enforceable commitments made prior to the notice of suspension, in good faith and in accordance with the grantee's approved work program, and not in anticipation of suspension or termination, shall not be considered new expenditures. However, funds shall not be recognized as committed solely because the grantee has obligated them by contract or otherwise to a delegate agency.

(8) The responsible Department official may in his/her discretion modify the terms, condition and nature of the suspension or rescind the suspension action at any time on his/her own initiative or upon a showing satisfactory to him/her that the grantee has adequately corrected the deficiency which led to the suspension and that repetition is not threatened. A suspension partly or fully rescinded may, in the discretion of the responsible Department official, be reimposed with or without further proceeding. Provided, however, that the total time of suspension may not exceed 30 days unless termination proceedings are initiated in accordance with Department policies and procedures governing the termination of contracts or unless the responsible Department official and the grantee agree to a continuation of the suspension for an additional period of time. If termination proceedings are initiated, the suspension shall remain in full force and effect until such proceedings have been fully concluded.

(e) Notice and Pre-hearing Procedures.

(1) If the responsible DEO official believes a grantee's violation of the terms and conditions of its contract is sufficiently serious to warrant termination, whether or not the contract has been suspended, he/she shall state that there appears to be grounds which warrant termination and shall set forth the specific reasons therefor. If the reason(s) result in whole or substantial part from the activities of a delegate agency, the notice shall identify that delegate agency. The notice shall also advise the grantee that the matter has been set down for hearing at a stated time and place in accordance with paragraph (f) of this section. In the alternative, the notice shall advise the grantee of its right to request a hearing and shall fix a period of time which shall not be less than 10 days, in which the grantee may request such a hearing.

(2) Termination hearings shall be conducted in accordance with the provisions of paragraphs (g) and (h) of this section. They shall be scheduled for the earliest practicable date, but not later

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than 30 days after a grantee has requested such a hearing. Consideration shall be given to a request by a grantee to advance or postpone the date of a hearing scheduled by the Department. Any such hearing shall afford the grantee a full and fair opportunity to demonstrate that it is in compliance with all applicable laws, regulations, and other requirements. In any termination hearing, the Department shall have the burden of justifying the proposed termination. However, if the basis of the proposed termination is the failure of a grantee to take action required by law, regulation, or other requirement, the grantee shall have the burden of proving that such action was timely taken.

(3) If a grantee requests that the Department hold a hearing in accordance with subparagraph (e)(1) of this section, it shall send a copy of its request for such a hearing to all delegate agencies which would be financially affected by the termination and to each delegate agency identified in the notice pursuant to subparagraph (e)(1) of this section. This material shall be sent to these delegate agencies at the same time the grantee's request is made to the Department. The grantee shall promptly send the Department a list of the delegate agencies to which it has sent such material and the date on which it was sent.

(4) If the responsible Department official pursuant to subparagraph (e)(1) of this section informs a grantee that a proposed termination action has been set for hearing, the grantee shall, within 5 days of its receipt of this notice, send a copy of it to all delegate agencies which would be financially affected by the termination action and to each delegate agency identified in the notice pursuant to subparagraph (e)(1) of this section. The grantee shall send the responsible Department official a list of all delegate agencies notified and the dates of notification.

(5) If the responsible Department official has initiated termination proceedings because of the activities of a delegate agency, that delegate agency may participate in the hearing as a matter of right. Any other delegate agency, person, agency or organization that wishes to participate in the hearing may, in accordance with paragraph (g) of this section, request permission to do so from the presiding officer of the hearing. Such participation shall not, without the consent of the Department and the grantee, alter the time limitations for the delivery of papers or other procedures set forth in this section.

(6) The results of the proceeding and any measure taken thereafter by the Department pursuant to this section shall be fully binding upon the grantee and all its delegate agencies whether or not they actually participated in the hearing.

(7) A grantee may waive a hearing and submit written information and argument for the record. Such material shall be submitted to the responsible Department official within a reasonable period of time to be fixed by him/her upon the request of the grantee. The failure of a grantee to request a hearing, or to appear at a hearing for which a date has been set, unless excused for good cause, shall be deemed a waiver of the right to a hearing and consent to the making of a decision on the basis of such information as is then in the possession of the Department.

(8) The responsible Department official may attempt, either personally or through a representative, to resolve the issues in dispute by informal means prior to the date of any applicable hearing.

(f) Time and Place of Termination Hearings.

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The termination hearing shall be held in Sacramento, CA, at a time and place fixed by the responsible Department official, unless he/she determines that the convenience of the Department or of the parties or their representatives requires that another place be selected.

(g) Termination Hearing Procedures.

(1) The termination hearing, the decision on termination and any review thereof shall be conducted in accordance with paragraph (g), (h) and (i) of this section.

(2) The presiding officer at the hearing shall be the responsible Department official. The presiding officer shall conduct a full and fair hearing, avoid delay, maintain order, and make a sufficient record for a full and true disclosure of the facts and issues. To accomplish these ends, the presiding officer shall have all powers authorized by law, and he/she may make all procedural and evidentiary rulings necessary for the conduct of the hearing. The hearing shall be open to the public unless the presiding officer, for good cause shown, determines otherwise.

(A) After the notice described in subparagraph (g)(6) of this section is filed with the presiding officer, he/she shall not consult any person or party on a fact in issue unless on notice and opportunity for all parties to participate. However, in performing his/her functions under this subparagraph the presiding officer may use the assistance and advise of an attorney designated by the General Counsel of the Department. The attorney designated to assist him/her however, must not have represented the Department or any other party or otherwise participated in a proceeding, recommendation, or decision in the particular matter.

(3) Both the Department and the grantee are entitled to present their cases by oral or documentary evidence, to submit rebuttal evidence and to conduct such examination and cross-examination as may be required for a full and true disclosure of the facts bearing on the issues. The issues shall be those stated in the notice required to be filed by subparagraph (g)(6) of this section, those stipulated in a pre-hearing conference or those agreed to by the parties.

(4) In addition to the Department, the grantee, and any delegate agencies which have a right to appear, the presiding officer, in his/her discretion, may permit the participation in the proceedings of such persons or organizations as he/she deems necessary for a proper determination of the issues involved. Such participation may be limited to those issues or activities which the presiding officer believes will meet the needs of the proceeding, and may be limited to the filing of written material.

(A) Any person or organization that wishes to participate in a proceeding may apply for permission to do so from the presiding officer. This application, which shall be made as soon as possible after the notice of proposed termination has been received by the grantee, shall state the applicant's interest in the proceeding, the evidence or arguments the applicant intends to contribute, and the necessity for the introduction of such evidence or arguments.

(B) The presiding officer shall permit or deny such participation and shall give notice of his/her decision to the applicant, the grantee, and the Department and, in the case of denial, a brief statement of the reasons therefor. The presiding officer may, however, subsequently permit such participation if, in his/her opinion, it is warranted by subsequent circumstances. If participation is granted, the presiding officer shall notify all parties of that fact and may, in appropriate cases, include in the notification a brief statement of the issues as to which participation is permitted.

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(C) Permission to participate to any extent is not a recognition that the participant has any interest which may be adversely affected or that the participant may be aggrieved by any decision, but is allowed solely for the aid and information of the presiding officer.

(5) All papers and documents which are required to be filed shall be filed with the presiding officer. Prior to filing, copies shall be sent to the other parties.

(6) The responsible Department official shall send the grantee and any other party a notice which states the time, place, and nature of the hearing, and the legal authority and jurisdiction under which the hearing is to be held. The notice shall also identify with reasonable specificity the facts relied on in justifying termination and the Department requirements which it is contended the grantee has violated. The notice shall be filed and served not later than 10 days prior to the hearing and a copy therefor shall be filed with the presiding officer.

(7) The grantee and any other party which has a right or permission to participate in the hearing shall give written confirmation to the Department of its intention to appear at the hearing 3 days before it is scheduled to occur. Failure to do so may, at the discretion of the presiding officer, be deemed a waiver of the right to a hearing.

(8) All papers and documents filed or sent to a party shall be signed in ink by the appropriate party or his/her authorized representative. The date on which papers are filed shall be the day on which the papers or documents are deposited, postage prepaid in the U.S. mail, or are delivered in person. The effective date of the notice specifying the grounds which warrant termination shall be the date of its delivery or attempted delivery at the grantee's last known address as reflected in the records of the Department.

(9) Prior to the commencement of a hearing the presiding officer may, subject to the provisions of subparagraph (g)(2)(A) of this section, require the parties to meet with him/her or correspond with him/her concerning the settlement of any matter which will expedite a quick and fair conclusion of the hearing.

(10) Technical rules of evidence shall not apply to hearings conducted pursuant to this section but the presiding officer shall apply rules or principles designed to assure production of relevant evidence and to subject testimony to such examination and cross-examination as may be required for a full and true disclosure of the facts. The presiding officer may exclude irrelevant, immaterial, or unduly repetitious evidence. A transcript shall be made of the oral evidence and shall be made available to any participant upon payment of the prescribed costs. All documents and other evidence submitted shall be open to examination by the parties and opportunity shall be given to refute facts and arguments advanced by either side on the issues.

(11) If the presiding officer determines that the interests of justice would be served, he/she may authorize the taking of depositions provided that all parties are afforded an opportunity to participate in the taking of the depositions. The party who requested the deposition shall arrange for a transcript to be made of the proceedings and shall upon request, and at his/her expense, furnish all other parties with copies of the transcript.

(12) Official notice may be taken of a public document, or part thereof, such as a statute, official report, decision, opinion or published scientific data issued by any agency of the Federal Government or a State or local government and such document or data may be entered on the record without further proof of authenticity. Official notice may also be taken of such matters as may be judicially noticed in the courts of the United States, State of California, or any other matter of established fact within the general knowledge of the Department. If the decision of

## **Attachment 5: California GOV Code 12750.2 and 22 CCR §100780**

the presiding officer rests on official notice of a material fact not appearing in evidence, a party shall on timely request be afforded an opportunity to show the contrary.

(13) After the hearing has concluded, but before the presiding officer makes his/her decision, he/she shall afford each participant a reasonable opportunity to submit proposed findings of fact and conclusions. After considering each proposed finding or conclusion the presiding officer shall state in his/her decision whether he/she has accepted or rejected them in accordance with the provisions of paragraph(h) and (i) of this section.

(h) Decision.

(1) Each decision of a presiding officer shall set forth his/her findings of fact, and conclusions, and shall state whether he/she has accepted or rejected each proposed finding of fact and conclusion committed by the parties, pursuant to subparagraph (g)(13) of this section. Findings of fact shall be based only upon evidence submitted to the presiding officer and matters of which official notice has been taken. The decision shall also specify the requirement or requirements with which it is found that the grantee has failed to comply.

(2) The decision of the presiding officer may provide for continued suspension or termination of the contract in whole or in part, and may contain such terms, conditions, and other provisions as are consistent with and will effectuate the purposes of the Community Services Block Grant Act, as amended.

(3) If the hearing is held by an independent hearing examiner rather than by the responsible Department official, he/she shall make an initial decision, and a copy of this initial decision shall be mailed to all parties. Any party may, within 20 days of the mailing of such initial decision or such longer period of time as the presiding officer specifies, file with the responsible Department official his/her exceptions to the initial decision and any supporting brief or statement. Upon the filing of such exceptions, the responsible Department official shall, within 20 days of the mailing of the exceptions, review the initial decision and issue his/her own decision thereon, including the reasons therefor. The decision of the responsible Department official may increase, modify, approve, vacate, remit, or mitigate any sanction imposed in the initial decision or may remand the matter to the presiding officer for further hearing or consideration.

(4) Whenever a hearing is waived, a decision shall be made by the responsible Department official and a written copy of the final decision of the reasonable Department official shall be given to the grantee.

(5) The grantee may request the Director to review a final decision made by the responsible Department official which provides for termination. Such a request must be made in writing within 15 days after the grantee has been notified of the decision in question and must state in detail the reasons for seeking the review. In the event the grantee requests such a review, the Director or his/her designee shall consider the reasons stated by the grantee for seeking the review and shall approve, modify, vacate or mitigate any sanction imposed by the responsible Department official or remand the matter to the responsible Department official for further hearing or consideration. The decision of the responsible Department official will be given great weight by the Director or his/her designee during the review. During the course of his/her review, the Director or his/her designee may, but is not required to, hold a hearing or allow the filing of briefs and arguments. Pending the decision of the Director or his/her designee, the grant shall remain suspended under the terms and the conditions specified by the responsible

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Department official unless the responsible Department official or the Director or his/her designee determines otherwise. Every reasonable effort shall be made to complete the review by the Director or his/her designee within 30 days of receipt of the grantee's request by the Director. The Director or his/her designee may, however, extend this period of time if he/she determines that additional time is necessary for an adequate review.

(6) The responsible Department official or the presiding officer of a termination hearing may alter, eliminate or modify any of the provisions of this section with the consent of the grantee and, in the case of a termination hearing, with the consent of all delegate agencies that have a right to participate in the hearing pursuant the subparagraph (e)(5) of this section. Such consent must be in writing or be recorded in the hearing transcript.

(7) The procedures established by this section shall not preclude the Department from pursuing other remedies authorized by law.

(i) Right to Counsel; Travel Expenses.

(1) The Department and the grantee shall have the right to be represented by counsel or other authorized representatives in all proceedings under this section. Any grantee or delegate agency if authorized by resolution of their Board of Directors, may transfer sufficient funds from their current operating grants to pay for fees, travel and per diem expenses of such attorney. The fees for such attorneys shall be the reasonable and customary fees for an attorney practicing in the locality of the attorney. However, such fees shall not exceed \$100 per day, exclusive of travel costs and per diem, without the prior written approval of the Department.

(2) The Board of Directors of the grantee or any delegate agency which has a right to participate in an informal meeting pursuant to subparagraph (e)(8) of this section will also be authorized to designate two persons in addition to an attorney whose travel and per diem expenses to attend the meeting or hearing may be paid from the organization's current operating grant. Such travel and per diem expenses shall conform to the policies set forth in Office of Management and Budget (OMB) Circular A-110, dated 7/30/76, and OMB Circular A-102, dated 9/12/77, and other applicable federal laws or regulations which may supercede these policies.

(j) Denial of Refunding.

(1) No grantee shall be denied refunding by the Department without the Department first complying with paragraphs (e), (f), (g), (h) and (i) of this section.

(2) In addition to the general requirements of subsection (a), the Department shall obtain authority to terminate the contract of community action agency grantees or migrant and seasonal farmworker organization grantees from the Secretary of the U.S. Department of Health and Human Services pursuant to Section 676 A of the Community Services Block Grant Act, (42 U.S.C. 9905A), prior to a denial of refunding.

(k) Disposition of Unexpended Funds.

Upon termination, the disposition of unexpended CSBG funds and of property purchased with program funds shall be in accordance with the provisions of Section 100740 of Article 3 of these regulations, entitled Grant Closeouts for Terminated Grantees. Termination shall not affect expenditures or legally binding commitments made prior to the grantees receipt of notice of the termination provided such expenditures were made in good faith and are otherwise allowable.

## **Attachment 5: California GOV Code 12750.2 and 22 CCR §100780**

Note: Authority cited: Section 12781(d)(1) and (e), Government Code. Reference: Section 12781(d)(1), Government Code.

### **HISTORY**

1. Change without regulatory effect amending subsections (b)(1)-(c), (d)(1)-(8), (e)(1)-(f), (g)(2)-(4), (g)(4)(B), (g)(6)-(8), (g)(12), (h)(3)-(7), (i)(1), (j)(1)-(2) and Note filed 12-20-93 pursuant to title 1, section 100, California Code of Regulations (Register 93, No. 52).

This database is current through 7/3/15 Register 2015, No. 27

22 CCR § 100780, 22 CA ADC § 100780