



# DRAFT CALIFORNIA CSBG STATE PLAN AND APPLICATION



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**Community Services Block Grant**  
Federal Fiscal Years 2014 & 2015

State of California  
Health and Human Services Agency  
Department of Community Services and Development

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

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# Introduction

The California Department of Community Services and Development (CSD) is pleased to submit the California Community Services Block Grant (CSBG) State Plan and Application for Federal Fiscal Years (FFY) 2014 and 2015.

CSBG 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. CSD is designated by the Governor as the state agency responsible for administering the CSBG program in California. There are currently 60 private non-profit and local governmental organizations across California (referred to as CSBG eligible entities throughout this State Plan) receiving CSBG funds. In 2014 and 2015, California's network of CSBG eligible entities will continue administering programs that assist low-income individuals and families with attaining the skills, knowledge and motivation necessary to achieve self-sufficiency.

The State Plan contains several elements, including:

- Programmatic, administrative and financial assurances and certifications that CSD agrees to as the designee in California to receive and administer the CSBG funds. The signature of the CSD Director on the certification forms attests to CSD's compliance with the assurances and certifications. A detailed narrative plan is provided on how CSD plans to carry out these assurances in 2014 and 2015.
- Evidence that the public and legislative hearing requirements were met.
- An annual report describing the CSBG activities, services and outcomes for the 2012 program year.

The State Plan provides an overview of the national focus on greater program accountability and measurable results from government funded programs. Information is provided on CSD's involvement in the development of the draft state and federal level performance management tools and protocols, organizational performance standards for local CSBG eligible entities, and the Results Oriented Management and Accountability (ROMA) next generation.

CSD has strived to develop a comprehensive and engaging State Plan for the CSBG program in California.

*Photographs included in the State Plan courtesy of:*

*Community Action Napa Valley  
Community Action Partnership of San Luis Obispo County, Inc.  
Fresno Economic Opportunities Commission (cover)  
Tehama County Community Action Agency (cover)*

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## I. FEDERAL FISCAL YEARS COVERED BY THIS STATE PLAN AND APPLICATION

This CSBG State Plan covers FFY 2014 (October 1, 2013 to September 30, 2014) and 2015 (October 1, 2014 to September 30, 2015).

## II. LETTER OF TRANSMITTAL

A cover letter will be included with the final State Plan and submitted to OCS by September 1, 2013. The letter will be addressed to OCS Director Jeannie Chaffin, and includes the State CSBG Program contact person and the State CSBG official who is to receive the CSBG Grant Award with complete address, telephone, and fax numbers.

## III. EXECUTIVE SUMMARY

### A. CSBG State Legislation

CA Gov. Code §12725 et seq. provides that the CSBG program in California 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.

The purpose of the CSBG program is to stimulate an effective concentration of all available local, private, state, and federal resources based on the goal of enabling low-income families and individuals of all ages, in rural and urban areas, to attain the skills, knowledge, and motivations to secure the opportunities needed for them to become fully self-sufficient.

### B. Designation of Lead State Agency to Administer the CSBG Program

Section 676(a) of the CSBG Act, as amended (42 U.S.C. 9901, et seq.) (The Act), requires the Chief Executive of each state to designate an appropriate state agency to act as the lead agency for administration of the CSBG.

CSD is designated by the Governor as the state agency responsible for administering the CSBG program in California. The Director of CSD is the state official designated to sign assurances and receive the grant award. The current letter of designation, issued by Governor Edmund G. Brown Jr., confirming designation of CSD as the lead agency is attached (Appendix A).

### C. Public Hearing Requirements

#### (1) Public Hearing

The public/legislative hearing will be hosted by the Senate Human Services Committee on **Tuesday, August 20, 2013 at 1:30 p.m. in Room 3191 at the State Capitol in Sacramento, California**. Notification of the date, time and location of the hearing will be provided. Public notices will be published in newspapers, in the northern, central

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and southern parts of the state at least ten days prior to the hearing (see Appendix B). CSD will also use its public website and social media channels to notify members of the public and stakeholders about the hearing. In addition, CSD will send a notice of the public hearing to all CSBG eligible entities.

The hearing will be advertised publicly and conducted in a manner to enable public comment. Oral and written testimonies will be accepted at the hearing and incorporated into the State Plan through transcripts (See Appendix C).

**(2) Legislative Hearing**

See previous section for information regarding the public/legislative hearing.

**(3) Public Inspection of State Plan**

The draft State Plan will be published on the CSD website at [www.csd.ca.gov](http://www.csd.ca.gov). Additionally, CSD will transmit the State Plan to all CSBG eligible entities and any other interested parties. The public is given approximately 30 days to review and submit comments on the draft State Plan.

Written comments will be accepted until 5:00 p.m. on Tuesday, August 20, 2013. Comments may be 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

#### IV. STATEMENT OF FEDERAL AND CSBG ASSURANCES

See Appendix D for the signed Statement of Federal and CSBG Assurances.

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## V. THE NARRATIVE STATE PLAN

### A. Administrative Structure

#### (1) State Administrative Agency

##### (A) MISSION STATEMENT

**The mission of CSD is to administer and enhance energy and community service programs that result in an improved quality of life and greater self-sufficiency for low-income Californians.**

To achieve this mission, CSD partners with a network of private, non-profit and local government community service providers dedicated to helping low-income families achieve and maintain self-sufficiency, meet their home energy needs and reside in housing free from the dangers of lead hazards.

#### **Responsibilities**

In accordance with CA Gov. Code §12780, as the state-administering agency for the California CSBG, CSD is delegated powers and responsibilities to ensure all applicable federal requirements are satisfied accordingly. The administrative requirements of this program are described in this State Plan.

This State Plan serves a variety of purposes. As required by federal law, it contains the certification and assurances of the Chief Executive Officer of California that the state will satisfy programmatic and public hearing requirements. In accordance with guidance from OCS, the State Plan describes how the CSBG program operates within California. In addition, the State Plan reflects the locally-determined program priorities as established through CSBG eligible entity planning, community needs assessment, and public hearings.

#### **The CSBG Environment and National Efforts**

Since the previous biennial State Plan submitted on September 1, 2011, significant shifts have occurred in the environment in which CSBG operates. OCS ACF has invested in the future of CSBG through competitive funding opportunities<sup>1</sup>. These investments resulted in awarding new grants and contracts to support the development of new national organizational standards and performance management protocols for CSBG. The following task force and centers of excellences were developed:

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<sup>1</sup> See Appendix E for a copy of the October 31, 2012 “CSBG Dear Colleague” letter which contains additional details.

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**CSBG Performance Management Task Force** – facilitated by the Urban Institute, this Task Force is developing new CSBG performance management tools and protocols. California’s CSBG Program Manager at CSD is a member of this Task Force, and has been actively involved participating in this work with other state and local agencies both within and outside the CSBG network.

**Organizational Standards Center of Excellence (OSCOE)** – led by the national Community Action Partnership, the OSCOE was charged with coordinating the development of a core set of Community Action Organizational Standards that apply to CSBG eligible entities. California’s CSBG Program Manager at CSD is a member of this Work Group and has been actively involved in this work with other state and local agencies. California was one of the states that participated in the test pilot of the draft standards with fourteen of the CSBG eligible entities. On July 10, 2013, the final proposed Organizational Performance Standards for Community Action consisting of nine categories and 56 Standards were submitted to OCS.

**Results Oriented Management Accountability Next Generation Center of Excellence** – led by the National Association for State Community Services Programs (NASCSPP), this Center of Excellence will review and develop strengthened performance measures and indicators within the CSBG current performance management system of ROMA.

*“The FY 2013 President’s budget request for CSBG included plans to assure that CSBG resources are allocated to high-performing, innovative agencies meeting a set of core Federal standards.”*

*– October 31, 2012  
ACF/OCS “CSBG Dear Colleague” letter*

These changes at the federal level may impact how CSD administers the CSBG program in 2014 and 2015. Through training and technical assistance (T&TA), CSD will support California CSBG eligible entities with implementing the new federal Organizational Performance Standards. CSD will continue to participate in state and national trainings that enhance the knowledge and awareness of personnel to effectively administer the CSBG program in California, including (but not limited to) the National Association for State Community Services Programs (NASCSPP), Community Action Partnership, and the Community Action Program Legal Services (CAPLAW) trainings.

(B) GOALS AND OBJECTIVES

CSD’s departmental goals are:

1. Californians are fully aware of CSD’s purpose, programs and how to access them.
2. CSD is the national leader in service delivery, fiscal accountability and programmatic accountability.

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3. CSD and the CSBG network and associations work together to strengthen and leverage their collective impact to improve the living conditions of low-income Californians.
  4. CSD and its CSBG network are committed to improving the quality of life for low-income Californians by providing clear, correct, courteous, complete, concise and competent service to the customer.
  5. The CSD workforce is a team of highly skilled professionals committed to the goals of CSD's programs, to making things happen, recognizing and seizing opportunities, adding value, influencing and inspiring others, and continuously learning and growing.

Additionally, CSD identifies Family Self-Sufficiency as the statewide priority. As part of the Community Action Plan (CAP), CSBG eligible entities are asked to include a narrative description of the strategies supporting Family Self-Sufficiency utilized by the agency in support of the local planning process.

**(2) Eligible Entities**

**(A) LIST OF ELIGIBLE ENTITIES**

A list of California's CSBG eligible entities is provided on pages 9 through 12 (Table A).

**(B) GEOGRAPHIC AREAS SERVED**

A map of California's CSBG eligible entities is provided on page 13 and the accompanying listing is provided on pages 9 through 12 (Table A).

**(3) Distribution and Allocations of Funds**

**(A) PLANNED DISTRIBUTION OF FUNDS FOR CURRENT FISCAL YEAR**

Through the President's proposed budget for FFY 2014, the Obama Administration is proposing an approximate 45 percent reduction to CSBG and proposes to use competition to target the funds to high performing agencies that are most successful in meeting important community needs.

If the reduction occurs, California's CSBG allocation for 2014 could be approximately \$31,061,675 as compared to California's 2013 allocation of \$56,379,949.

The projected funding allocations<sup>2</sup> in either scenario are provided in Table A on pages 9 through 12. The column labeled "2014 Total Estimated Allocation (Based on 2013 Award)" estimates the amount of funding to be allocated

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<sup>2</sup> Quechan Tribe is not included in estimated allocations.



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based on California's 2013 CSBG award assuming Congress passes a 2014 budget holding CSBG at the 2013 funding level.

The column labeled "2014 Total Estimated Allocation (*Based on 45% Reduction*)" estimates the amount of funding to be allocated to the CSBG eligible entities utilizing the estimated \$31,061,675 allocation if the President's proposed 45 percent reduction occurs.

Table A only reflects the CSBG eligible entities' proposed allocations. The State of California administrative and discretionary allocations are each limited to 5 percent of the total CSBG award.

The reflected allocations listed may change dependent upon the final federal award and any funding formula changes either federally required or recommend by the state, such as through the CSBG Funding Formula Advisory Task Force.

***Sequester Impacts***

The Budget Control Act of 2011 imposed a series of automatic spending reductions (cuts known as the Sequester) on federal discretionary programs, which includes CSBG. In FFY 2014 and 2015, CSD will adjust the CSBG eligible entity allocations in accordance with the Sequestration. The allocations provided in Table A may be subject to change based on Sequestration and federal budget authorization.

**Table A: Listing of CSBG Eligible Entities & Estimated 2014 CSBG Allocations**

<b>County</b>	<b>COMMUNITY ACTION AGENCIES</b>	<b>2014 Total Estimated Allocation (Based on 2013 Award)</b>	<b>2014 Total Estimated Allocation (Based on 45% Reduction)</b>
Alameda	Berkeley Community Action Agency	\$235,952	\$129,994
Alameda	City of Oakland, Department of Human Services	\$1,197,456	\$659,721
Alpine	Inyo Mono Advocates for Community Action, Inc.	\$1,157	\$637
Amador/Tuolumne	Amador/Tuolumne Community Action Agency	\$231,020	\$127,277
Butte	Community Action Agency of Butte County, Inc.	\$319,443	\$175,993
Calaveras/Mariposa	Calaveras-Mariposa Community Action Agency	\$230,427	\$126,950
Colusa	SEE GLENN		
Contra Costa	Contra Costa Employment & Human Services Department	\$752,057	\$414,334
Del Norte	Del Norte Senior Center	\$45,249	\$24,929
El Dorado	El Dorado County Health & Human Services Agency	\$252,826	\$139,291
Fresno	Fresno County Economic Opportunities Commission	\$1,639,825	\$903,437
Glenn/Colusa/Trinity	Glenn County Human Resource Agency	\$231,718	\$127,662
Humboldt	Redwood Community Action Agency	\$238,007	\$131,127
Imperial	Campesinos Unidos, Inc.	\$277,054	\$152,639
Inyo/Mono	Inyo Mono Advocates for Community Action, Inc.	\$228,861	\$126,087
Kern	Community Action Partnership of Kern	\$1,317,001	\$725,582
Kings	Kings Community Action Organization, Inc.	\$266,289	\$146,708
Lake/Mendocino	North Coast Opportunities	\$483,206	\$266,215
Lassen/Plumas/Sierra	Lassen/Plumas/Sierra Community Action Agency	\$230,131	\$126,787
Los Angeles	Foothill Unity Center	\$284,987	\$157,009
Los Angeles	Long Beach Community Action Partnership	\$695,920	\$383,407
Los Angeles	County of Los Angeles Department of Public Social Services	\$5,368,763	\$2,957,838
Los Angeles	City of Los Angeles, Community Development Department	\$5,814,440	\$3,203,376

<b>County</b>	<b>COMMUNITY ACTION AGENCIES</b>	<b>2014 Total Estimated Allocation (Based on 2013 Award)</b>	<b>2014 Total Estimated Allocation (Based on 45% Reduction)</b>
Madera	Community Action Partnership of Madera County	\$246,749	\$135,942
Marin	Community Action Marin	\$238,456	\$131,374
Mariposa	SEE CALAVERAS		
Mendocino	SEE LAKE		
Merced	Merced County Community Action Agency	\$441,558	\$243,269
Modoc/Siskiyou	Modoc-Siskiyou Community Action Agency	\$231,718	\$127,662
Mono	SEE INYO		
Monterey	Monterey County Community Action Partnership	\$442,426	\$243,748
Napa	Community Action Napa Valley	\$253,745	\$139,797
Nevada	Nevada County Department of Housing and Community Services	\$239,864	\$132,149
Orange	Community Action Partnership of Orange County	\$2,416,667	\$1,331,426
Placer	Project Go, Inc.	\$295,603	\$162,858
Plumas	SEE LASSEN		
Riverside	Community Action Partnership of Riverside County	\$2,299,325	\$1,266,778
Sacramento	Sacramento Employment and Training Agency	\$1,562,587	\$860,883
San Benito	San Benito County Department of Community Services & Workforce	\$236,897	\$130,515
San Bernardino	Community Action Partnership of San Bernardino County	\$2,380,952	\$1,311,749
San Diego	County of San Diego, Health and Human Services Agency, Community Action Partnership	\$2,949,174	\$1,624,802
San Francisco	Economic Opportunity Council of San Francisco	\$756,089	\$416,556
San Joaquin	San Joaquin County Dept. of Aging & Community Services	\$862,103	\$474,962
San Luis Obispo	Community Action Partnership of San Luis Obispo County, Inc.	\$263,063	\$144,931
San Mateo	San Mateo County Human Services Agency	\$400,928	\$220,885
Santa Barbara	Community Action Commission of Santa Barbara County, Inc.	\$468,560	\$258,146

<b>County</b>	<b>COMMUNITY ACTION AGENCIES</b>	<b>2014 Total Estimated Allocation (Based on 2013 Award)</b>	<b>2014 Total Estimated Allocation (Based on 45% Reduction)</b>
Santa Clara	Sacred Heart Community Services	\$1,251,835	\$689,680
Santa Cruz	Community Action Board of Santa Cruz County, Inc.	\$256,598	\$141,369
Shasta	Shasta County Community Action Agency	\$264,808	\$145,892
Sierra	SEE LASSEN		
Siskiyou	SEE MODOC		
Solano	Community Action Partnership of Solano County	\$340,150	\$187,400
Sonoma	Community Action Partnership of Sonoma County	\$396,719	\$218,567
Stanislaus	Central Valley Opportunity Center, Inc.	\$677,265	\$373,129
Sutter	Sutter County Community Action Agency	\$237,982	\$131,113
Tehama	Tehama County Community Action Agency	\$252,490	\$139,105
Trinity	SEE GLENN		
Tulare	Community Services & Employment Training, Inc.	\$794,614	\$437,781
Tuolumne	SEE AMADOR		
Ventura	Community Action of Ventura County, Inc.	\$603,008	\$332,218
Yolo	County of Yolo, Department of Employment & Social Services	\$260,448	\$143,490
Yuba	Yuba County Community Services Commission	\$240,971	\$132,759
<b>TOTAL, all counties</b>		<b>\$42,905,141</b>	<b>\$23,637,935</b>

<b>NATIVE AMERICAN INDIAN AGENCIES</b>		
<b>Agency</b>	<b>2014 Total Estimated Allocation (Based on 2013 Award)</b>	<b>2014 Total Estimated Allocation (Based on 45% Reduction)</b>
Karuk Tribe of California	\$111,412	\$76,697
Northern California Indian Development Council, Inc.	\$1,839,953	\$1,014,758
Los Angeles City/County Native American Indian Commission of Los Angeles	\$247,453	\$119,950
<b>TOTAL</b>	<b>\$2,198,818</b>	<b>\$1,211,405</b>

<b>MIGRANT &amp; SEASONAL FARMWORKER AGENCIES</b>		
<b>Agency</b>	<b>2014 Total Estimated Allocation</b> <i>(Based on 2013 Award)</i>	<b>2014 Total Estimated Allocation</b> <i>(Based on 45% Reduction)</i>
California Human Development	\$1,296,739	\$714,419
Proteus, Inc.	\$2,086,058	\$1,149,282
Central Valley Opportunity Center, Inc.	\$507,420	\$279,555
Center for Employment Training	\$1,747,778	\$962,912
<b>TOTAL</b>	<b>\$5,637,995</b>	<b>\$3,106,168</b>

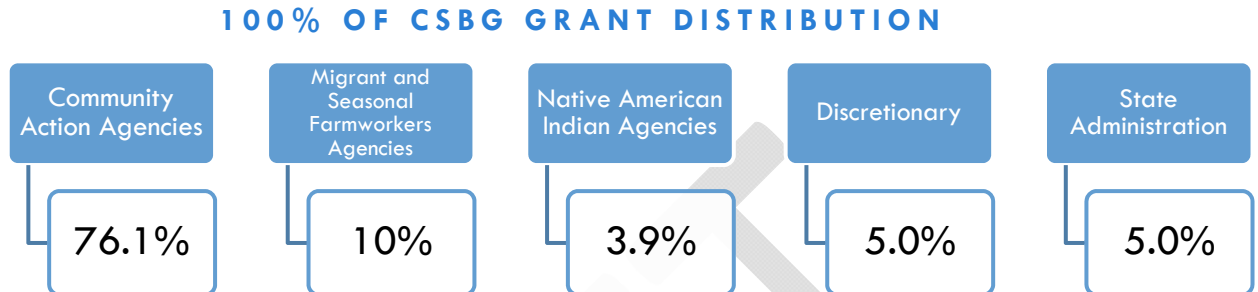
<b>LIMITED PURPOSE AGENCIES (DISCRETIONARY FUNDS)</b>		
<b>Agency</b>	<b>2014 Total Estimated Allocation</b> <i>(Based on 2013 Award)</i>	<b>2014 Total Estimated Allocation</b> <i>(Based on 45% Reduction)</i>
Campeños Unidos, Inc.	\$81,846	\$81,846
Community Design Center	\$123,262	\$123,262
Del Norte Senior Center	\$89,600	\$89,600
Rural Community Assistance Corporation	\$138,053	\$138,053
<b>TOTAL</b>	<b>\$432,761</b>	<b>\$432,761</b>

## Map of Geographic Areas Served



## B. Description of Criteria and Distribution Formula

CSD will pass through at least 90 percent of California's CSBG award to CSBG eligible entities that meet both federal and state requirements (42 U.S.C. 9902(1)(a) and CA Gov. Code §12730(g), and up to 5 percent for discretionary use. The budgeted distribution is as follows:



Pursuant to CA Gov. Code §12785(a), if the state's annual CSBG award is reduced by any amount up to 3.5 percent from the prior year, the discretionary distribution shall be reduced to proportionately restore CSBG eligible entities to prior year funding levels. In addition, CA Gov. Code §12785(b) states that if the state's award is reduced by a cumulative amount of 20 percent or more below its 2005 award, the Director shall convene the CSBG eligible entities receiving CSBG funds to determine whether changes to the allocation system should be contemplated and referred to the Legislature for consideration. Also, in accordance with CA Gov. Code §12759(e)(2), allocation of the CSBG award to CSBG eligible entities shall be adjusted whenever decennial census data is available. In 2013, CSD updated CSBG eligible entity allocations with data taken from the U.S. Census Bureau's 2006-2010 American Community Survey (ACS).

In preparation for previously proposed CSBG funding reductions, CSD, together with the Cal/Neva Community Action Partnership, developed a CSBG Funding Formula Advisory Task Force (Task Force) representing all regions and types of CSBG-funded agencies in the state. The Task Force sought stakeholder input and made recommendations regarding possible state formula modifications to implement the proposed federal CSBG reductions. CSD will reconvene this Task Force if the President's proposed reduction to CSBG were to take place.

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 CSBG eligible entities prior to the receipt of the CSBG Grant Award Notification. Upon receipt of the grant award, Agreements are mailed to CSBG eligible entities allowing services to begin at the beginning of the calendar year; thereby, preventing gaps in services.

### **Community Action Agencies (CAAs) (Gov. Code §12759)**

Of California's CSBG award, 76.1 percent is set aside for CAA organizations. Per state statute, increases and decreases in total program funds for each FFY must be proportionately allocated among all CAAs, relative to the prior year's allocation. In addition, whenever decennial census data is available, allocations shall be adjusted by the percentage

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difference of the number of persons living in households at or below the poverty level in each agency's respective service area, as compared to the number of these persons reported in the previous decennial census.

***Migrant and Seasonal Farmworker (MSFW) Agencies (Gov. Code §12765-12768)***

Of California's CSBG award, ten percent is set aside for MSFW agencies. The MSFW distribution of the CSBG award is allocated pursuant to mutually agreed upon historical percentages for three established service districts. Listed below are the MSFW agencies and their services districts:

- California Human Development – Service District I – 23%
- Proteus, Inc. – Service District II – 37% (partial)
- Central Valley Opportunity Center, Inc. – Service District II – 9% (partial)
- Center for Employment – Service District III – 31%

MSFW agencies shall coordinate their plans and activities with other CSBG eligible entities funded by CSD to avoid duplication of services and to maximize services for all eligible beneficiaries. (Additional details regarding MSFW Service Districts are provided in Appendix F).

***Native American Indian (NAI) Agencies (Gov. Code §12770-12773)***

Of California's CSBG award, 3.9 percent is set aside for NAI agencies:

- Karuk Tribe of California
- Northern California Indian Development Council, Inc. (NCIDC)
- Los Angeles City/County Native American Indian Commission of Los Angeles

Core funding for Karuk, NCIDC and NCIDC/LIFE is deducted from the NAI set-aside. The remaining NAI distribution of the CSBG award is allocated in a manner commensurate with the NAI poverty population in each county, and the total NAI population on reservations or Rancherias, according to the most recently available decennial census data. (See Appendix G for a listing with additional details regarding the allocation to NAI agencies).

During negotiations in the late 1980's between CSD and tribal and Indian community leaders throughout the state, it was mutually agreed that reservations/Rancherias are considered "pockets of poverty," and a minimum funding level of \$1,000 would be provided for any county, reservation or Rancheria that would otherwise receive less than this amount due to a small NAI population. American Indian Tribes and tribal organizations applying for and receiving funds directly from the U.S. Department of Health and Human Services will be ineligible for NAI funding from the state.

NAI agencies shall coordinate their plans and activities with other CSBG eligible entities funded by CSD to avoid duplication of services and to maximize services for all eligible beneficiaries.



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## C. Description of Distribution and Use of Restricted Funds

Table A on pages 9 through 12 lists the planned distribution of restricted funds to CSBG eligible entities in FFY 2014 and 2015. The funds will be used by CSBG eligible entities to further the stated purposes of CSBG as described throughout this State Plan. CSD did not recapture and redistribute any funds.

## D. Description of Distribution and Use of Discretionary Funds

In accordance with Section 675C(b) of the Act (42 U.S.C. §9907(b)) (excluding administration), and in accordance with CA Gov. Code §12786, CSD will use 5 percent of its annual CSBG funding for discretionary purposes (refer to page 14 for additional details regarding the use of discretionary funds to offset funding reductions).

### **Limited Purpose Agencies**

CSD sets aside a portion of the CSBG discretionary funding to support Limited Purpose Agencies (LPAs), as defined in subdivision (a) of CA Gov. Code §12775 as community-based nonprofit organizations. CSD currently funds 4 LPAs (described below) and will continue to do so in FFY 2014 and 2015 insofar as these agencies meet eligibility requirements.

- **Del Norte Senior Center (DNSC)** provides services to clients in the uncapped area of Del Norte County. DNSC assists the vulnerable elderly and disabled population through a range of services, including senior nutrition programs, onsite and home delivered meals, tax preparation assistance, community activities, free legal services, and senior apartments that provide semi-supported living arrangements.
- **Campeños Unidos, Inc. (CUI)** provides no cost child care and development supports. The child development services offered by CUI combine individual and group activities that promote learning and development at physiological, social, emotional, cognitive and academic levels.
- **Rural Community Assistance Corporation (RCAC)** improves the quality of life for rural communities and disadvantaged people in California through partnerships, technical assistance and access to resources. RCAC strives to help community-based organizations and rural governments increase their own capacity to implement solutions to their problems. RCAC provides a wide range of housing and community development services to achieve this mission. These services increase the availability of safe and affordable housing; improve drinking water, wastewater and solid-waste systems, build the capacity of local officials and community-based organizations, and develop the knowledge base of the rural public through education, outreach, and training. In addition, RCAC is a certified Community Development Financial Institution (CDFI), providing loans for projects in rural communities, including affordable housing development, environmental infrastructure, community facilities and business.
- **Community Design Center (CDC)** provides organizations and residents of low-income communities with resources and consultation services on housing programs, construction processes, loans, permits, building regulations and codes. CDC assists community

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groups and residents with projects to repair, remodel and rehabilitate buildings for affordable housing and community activities.

***Training and Technical Assistance (T&TA)***

Annually, CSD sets aside a portion of the CSBG discretionary funds to support T&TA for California's CSBG eligible entities. T&TA is used to support CSBG eligible entities with meeting administrative and programmatic requirements, and to enhance operations of the agency.

***Targeted Initiatives and Innovative Projects***

CSD may set aside a portion of discretionary funds in FFY 2014 and 2015 to support CSBG eligible entity targeted initiatives, innovative projects, and priorities identified by CSD. The targeted initiatives and innovative projects benefit low-income individuals, families and communities. Projects selected by CSD demonstrate a high potential for success, a strong need for assistance, and achievable outcomes.

***Disaster Assistance***

A portion of the FFY 2014 and 2015 CSBG discretionary funds will be set aside by CSD to be utilized by CSBG eligible entities in the event of a disaster. If a State of Emergency is declared by the California Governor's Office (or at the CSD Director's discretion), CSD may make available all or a portion of the disaster set-aside funding to CSBG eligible entities in the affected counties.

**E. Description of Use of Administrative Funds**

Pursuant to federal law, CSD will use 5 percent of the total CSBG award for administrative expenses in accordance with generally accepted governmental accounting principles. *California does not use CSBG funds for a Charity Tax Credit Program.*

**F. State Community Services Program Implementation**

**(1) Program Overview**

CSD's plan overview, as required under Section 676(b)(2) of the Act, 42 U.S.C. §9908(3), is as follows:

**(A) THE SERVICE DELIVERY SYSTEM**

A description of the service area and service delivery systems used by California CSBG eligible entities is provided below.

California is unique for many reasons, including wide variations in geography, population density, ethnic, social, and economic representations and diversity of needs. California is ranked number one (1) in the U.S. in population, with over 38,041,430 residents<sup>3</sup>. Of those residents, the U.S. Census Bureau

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<sup>3</sup> See U.S. Census Bureau. (2013, June 27). QuickFacts: State and County. Retrieved from <http://quickfacts.census.gov/qfd/states/06000.html>

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estimated that in 2011, 16.6 percent were below the poverty level based on the official poverty measure (OPM).

Due to concerns that the official measure is outdated and does not accurately reflect individuals' incomes or financial resources, the U.S. Census Bureau released an alternative measure for the first time in 2011, known as the supplemental poverty measure (SPM), which defines income and poverty differently than the OPM. Unlike the OPM the SPM includes benefits from many government programs designed to assist low-income families and also includes the amount spent on food, clothing, shelter and utilities.

Although the SPM will not replace the OPM for allocating funding, it is intended as a statistical measure and a tool to measure the effectiveness of anti-poverty programs. Based on the SPM, California's poverty rate is 23.5 percent, the highest in the nation.

CSD will continue to follow the results of the SPM and share information with the CSBG eligible entities, specifically the research being conducted at the Stanford Center on Poverty and Inequity and the Center for Poverty Research at UC Davis which will provide the impact to California's low-income population at the county level.

California's network of CSBG eligible entities molds service delivery strategies based on a keen understanding of the local needs of low-income populations in their service areas.

The service delivery strategies utilized by each CSBG eligible entity provide opportunities for low-income Californians to become self-sufficient and address the systematic causes of poverty. The mission of CSBG eligible entities is to transition community members out of poverty by helping low-income Californians overcome structural and individual barriers to self-sufficiency. CSBG eligible entities outline their efforts to address the conditions of poverty in their Community Action Plan (CAP) submitted to CSD on a biennial cycle. The CAP aids CSBG eligible entities in understanding the needs of the low-income, identifying their service territory and service delivery system. As part of the CAP, CSBG eligible entities submit a community profile and community needs assessment describing the current conditions of poverty within their community. CSBG eligible entities provide direct services and/or sub-contract with community based organizations in an effort to provide the most applicable and effective services in their communities, in response to the results of the community needs assessment. The services are customized to address not only the needs of the community, but also the removal of obstacles to administering those services.

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Service delivery systems administered in California are driven by low-income community needs and vary with each agency. Many CSBG eligible entity services are classified by categories such as direct or indirect client services, case management, advocacy and referrals, outreach, and/or capacity building. Other CSBG agencies categorize services by the level of impact, such as individual/family level or community level. Regardless of the service models used, CSBG eligible entities offer services that address a variety of needs, not limited to food resources, transportation, high risk youth services, education, family self-sufficiency, health, asset development, and job training.

(B) LINKAGES

The formation of linkages in the community with various partners and organizations is essential to the development of effective community-based programs. By coordinating efforts and developing high quality, effective programs, communities are able to establish direct pathways to self-sufficiency and socioeconomic advancement. Forming sustainable relationships with community partners in public, private, and low-income sectors results in a synergistic effort leading to success. CSBG eligible entities are well-positioned to develop and maintain the linked infrastructure necessary for low-income Californians to achieve self-sufficiency.

California CSBG eligible entities have developed collaborative partnerships with a myriad of partners in addition to the state, including city and county government entities, along with a variety of social services providers including faith-based and other community-based organizations. The CAP submitted by each CSBG eligible entity includes a description of existing partnerships, as well as an assessment of the effectiveness of the partnerships. In addition to the partnerships, the CSBG eligible entities also participate in a variety of workgroups within their communities, focusing on issues such as economic development, homelessness, Workforce Investment Boards and community mental health councils. These workgroups are important linkages that help to identify and fill gaps in services to the low-income community.

(C) COORDINATION WITH OTHER PUBLIC AND PRIVATE RESOURCES

CSBG eligible entities describe in their CAP how they will coordinate their activities with other public and private resources within their service area. CSBG eligible entities provide a narrative on the coordination of services and efforts to mobilize public and private resources to effect maximum leveraging for CSBG funds. California CSBG eligible entities have coordinated efforts and resources with various community partners including, but not limited to, businesses, schools, Workforce Investment Boards, healthcare providers, trade associations, community advisory boards, youth councils, emergency services

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entities, one-stop centers, and CalWORKs, to meet the immediate and longer-term needs of low-income families and individuals.

In addition, CSD works to identify potential partnerships and supports CSBG eligible entities in forming these partnerships by sharing information at quarterly CSBG Advisory Committee meetings and other communications with the CSBG network.

(D) INNOVATIVE COMMUNITY AND NEIGHBORHOOD-BASED INITIATIVES

California's economic challenges require CSBG eligible entities to explore new and efficient ways to deliver critical services to low-income Californians. This exercise in innovative problem solving and development of neighborhood-based initiatives spurs a wide range of services, supports, and opportunities to help people achieve self-sufficiency. Examples of innovative programs captured in the 2014-2015 CAPs, submitted by California's CSBG eligible entities are provided below:

**Center for Employment Training (CET)**

*(Women's Two-Year Pilot Project)*

CET received a \$2,050,000 Walmart Foundation grant which was enhanced by a \$100,000 CSD CSBG Discretionary Award to administer a new women's two-year pilot project. The project will be implemented in San Diego, Gilroy, and San Jose. During the period of June 2013 through March 2015, CET will provide 200 economically disadvantaged unemployed women with comprehensive vocational training in historically male-dominated fields of employment or in jobs with a career path to middle skill level jobs. The objective is to offer women with multiple barriers to employment a roadmap to success by providing vocational training with a complement of supportive services and an empowerment training model that will move them from poverty to sustainable employment in non-traditional occupations. The larger goal of the project is to empower low-income women by building self-confidence to succeed in a mostly male-centric environment.

This two-year pilot project will empower women with the skills, knowledge, and self-confidence to make their own choices and achieve economic self-sufficiency through employment. Enhanced support will come from the combination of intensified case management and monthly group sessions to share of "challenges and successes." Additionally, training, empowerment workshops, and limited financial support with child care, transportation, housing, food and clothing are provided.

CET is developing a Women's Technical Advisory Committee consisting of women professionals (particularly those employed in non-traditional fields of

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employment) and female CET alumni who are employed, who will act as mentors and careers advisors. The ultimate goal is that program participants can aspire to leadership positions with greater responsibility, authority and long-term employment in their chosen careers.

Of the 200 women in the pilot program 80 percent or 160 women will graduate/complete vocational skill training, 130 women will be placed in employment at a living wage, a minimum of 20 women will obtain industry recognized certificates, and 18 women will obtain their GED. The women in this program will have higher wages, enjoy the independence and possibilities that come from increased economic choices and serve as role models for their family members and the community at large.

**San Joaquin County Department of Aging and Community Services**  
*(Computer Builder and Life-Skill Development Program)*

One of San Joaquin County's Community Centers currently hosts a Computer Builder and Life-Skill Development Program which will be expanded to at least 5 additional Community Centers. The Computer Builder and Life-Skill Development Program seeks to increase the marketable skills and self-esteem of those individuals who complete the computer training program and actively seek employment. The participants learn valuable technical skills, such as understanding the components of computers, how the components function together, troubleshooting malfunctions, and ultimately putting these skills to work to build a computer. While learning these skills that prepare them for employment in today's market, youth also receive mentoring and valuable life skills as they work together to accomplish their goals. The project was designed on the premise that every student should have the resources to help them explore and pursue education, career interests, and job opportunities.

Youth participants are also required to invest in their own communities by participating in community service. These community projects include: providing computer skills tutoring for senior citizens, community clean-up projects, and other similarly related efforts. Parent involvement is a required component of the program (particularly for participants under 18), to encourage and support youth in their personal growth and skill development.

**Community Action Partnership of Sonoma County (CAPSC)**  
*(Evidence-Based Strategy)*

CAPSC has adopted an evidence-based strategy to ensure that programs are designed and implemented using the most innovative practices in each field of endeavor. CAPSC staff coordinates with the architects of evidenced-based programs to make modifications informed by local conditions, and to evaluate these modifications. By working collaboratively with local public and private

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entities to advance collective impact across the county, CAPSC has adopted a Cradle-to-Career strategy with its core approach to support family strengthening. It is the intent of the CAPSC to address self-sufficiency while children are young, breaking the intergenerational roots of poverty. Parents are supported in this effort through programs such as AVANCE, Padres Unidos and Pasitos to not only be the first teacher of their children, but to advocate for them and the family. Parents are encouraged to also build upon their strengths and, when possible, provided opportunities to improve their financial standing through ESL classes, microenterprise development and post-secondary trainings.

**Northern California Indian Development Council, Inc. (NCIDC)**  
*(Supplemental Youth Services Program)*

NCIDC will maintain enrollment in the Workforce Investment Act, Supplemental Youth Services Program (SYSP) to provide a variety of training and job related experiences for Indian youth. NCIDC will sponsor a variety of events that actively engage youth in working with positive role models such as the Intertribal Elders Gathering in Eureka, food distribution and the Weaving Wellness in Native Communities summit.

The youth component of the wellness program is a driving force behind smoking cessation campaigns. The program is successful in helping youth to develop skills necessary for them to have an impact on health and wellness in the community. The wellness project encourages youth involvement in media projects, resulting in numerous culturally focused public service announcements that are run throughout the community. Youth develop skills, have a better understanding of their community and they have an opportunity to create messages that reflect their point of view and culture.

**Community Action Partnership of San Luis Obispo County (CAPSLO)**  
*(Mother/Father Engagement Project)*

CAPSLO administers the Family Engagement Project for Migrant and Seasonal Farmworker Head Start participant families, including specific groups for men and women who are parents or guardians, or who are important in the life of a Head Start child, regardless of whether the child is served by a Head Start center or a licensed childcare provider. The project brings these groups together to participate in learning how to resolve parental challenges and how to support the growth and development of children.

Both male and female parent groups enhance their knowledge of early childhood development, school readiness, health, social and emotional well-being, economic well-being, parenting and disciplinary styles, leadership,

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advocacy, quality time spent with children, interpersonal relationships, working as a team with their partners, accountability, self-awareness, and communication. Participants address challenging and potentially harmful behaviors such as drug and/or alcohol abuse and domestic violence.

**(2) Community Needs Assessments**

CSD will carry out the requirements of Assurance 11, pertaining to Community Needs Assessments [section 676(b)(11) of the Act (42 U.S.C. §9908(b)(11))] as follows: As a condition to receipt of funding, each California CSBG eligible entity must submit a CAP that includes a Community Needs Assessment (Assessment) for the CSBG eligible entity's service area. The CAP serves as each CSBG eligible entity's roadmap for promoting self-sufficiency by specifying what will be done, who will do it, and how it will be done. CAPs are submitted to CSD biennially by June 30<sup>th</sup>. An important component of the CAP is the Assessment, a process used to determine the needs of low-income individuals, families, and communities. Many CSBG eligible entities utilize survey instruments, secondary data, research, strategic planning evaluations, third-party assessments and community focus groups to collect information about the community. The Assessment informs CSD how the CSBG eligible entities will utilize CSBG funds to meet the needs of low-income persons in their service areas in accordance with the assurances in the federal CSBG Act.

The information and data gathered in the Assessment drives the goal setting process and the formulation of program activities and delivery strategies. Through surveys and other data collection methods, CSBG eligible entities' Assessments reveal demographic and economic conditions and other poverty-related factors identified in each community. The Assessment includes an appraisal of existing programs/services available in the community, specific information about the effectiveness and amount of assistance being provided to deal with the effects and causes of poverty, and the establishment of priorities for projects, activities and most efficient and effectual use of CSBG resources. Additionally, the CAP includes a description of the process undertaken to ensure that the most relevant data is collected and included in the Assessment. In particular, the CSBG eligible entities describe how they ensure that the Assessment reflects the current priorities of the low-income population in their particular service area. In accordance with CA Gov. Code §12747 (b)-(d), CSBG eligible entities are required to conduct a local public hearing to capture testimony of the low-income on the CAP.



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**(3) Tripartite Boards**

To ensure Tripartite Board compliance, the CSBG Grant Agreement between CSD and CSBG eligible entities requires submission of the following:

- Roster { • Current Tripartite Board roster (including name and sector of each Board member)
- Bylaws { • Current copy of the bylaws
- Minutes { • Approved Tripartite Board minutes from regularly scheduled meetings

CSD monitors the tripartite board composition through the analysis of the board roster, bylaws, and approved board meeting minutes. CSD makes an effort to schedule onsite monitoring visit in conjunction with a Tripartite Board meeting which provides the opportunity for CSD staff to attend the board meeting.

**(4) State Charity Tax Program**

This is not applicable to the State of California.

**(5) Programmatic Assurances**

CSD is responsible for carrying out each of the assurances in Section 676(b) of the CSBG Act (42 U.S.C. §9908(b)), as outlined below:

(a) Assurance '676(b)(1), 42 U.S.C. §9908(b)(1)

*Funds made available through the grant or allotment will be used:*

- (1) *To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable families and individuals to:*
  - (i) *remove obstacles and solve problems that block the achievement self-sufficiency (including self-sufficiency 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) *secure and retain meaningful employment; attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;*
  - (iii) *make better use of available income;*

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- (iv) *obtain and maintain adequate housing and a suitable living environment;*
  - (v) *obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
  - (vi) *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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.*

California's CSBG network satisfies 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.

- (2) *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 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 after-school child care programs; and*

As stated previously, CSBG eligible entities are required to conduct and submit a formal Assessment for their community. The Assessment must reflect the current needs of the community. 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 means, including summer youth programs, mentoring programs, gang suppression and prevention

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programs, life skills training and employment-related initiatives.

- (3) *To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). Information describing how the State will carry out this assurance. (Include a description of how these activities will enable families and individuals to achieve the objectives described in subsections i to vii above).*

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.

- (b) Assurance '676(b)(4), 42 U.S.C. §9908(b)(4)  
*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. Information describing how the State will carry out this assurance:*

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. CSD will ensure that these activities are carried out through review of CSBG eligible entities' CAPs and the monitoring of administrative and program performance of contract requirements.

- (c) State Assurance '676(b)(5), 42 U.S.C. §9908(b)(5)  
*and the 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 to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.*

The CSBG eligible entities link with a number of governmental and other social services programs to assure the effective delivery of services to low-income Californians. Linkages with these programs ensures that services are available to help participants continue moving toward self-sufficiency, and avoids duplication of services. Examples of these linkages include coordination or partnerships with local Workforce Investment Boards, social services departments, one-stop centers, child care, and other community-based organizations.

CSD requires CSBG eligible entities to provide a description of their linkages with social services, and to certify compliance with this Assurance in the CAP. CSD will ensure that these activities are carried out through review of the CAPs, monitoring of

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the CSBG eligible entities' program performance, and oversight of contract requirements.

In addition, CSD participates on state and national groups to coordinate services, share information across state departments, and link resources to the CSBG network. In 2013, CSD invited the California Department of Rehabilitation (DOR) to attend a quarterly CSBG Advisory Committee meeting. DOR provided an overview of their services to their target population to identify collaborative opportunities with the CSBG eligible entities. CSD participates on the State Interagency Team (SIT). The SIT is charged with promoting coordination and collaboration among government departments within California. Moving forward, CSD will continue to be engaged at the state and national levels to assist with linkages and coordination to effectively administer the CSBG program.

(d) Assurance '676(b)(6), 42 U.S.C. §9908(b)(6)

*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 communities.*

CSD will continue to foster coordination between antipoverty programs in each community, including the federal Low-Income Home Energy Assistance Program (LIHEAP), through coordination provisions of the CSBG eligible entity CAPs. CSD administers the LIHEAP, which contains provisions for weatherization and energy crisis intervention. Approximately 50 percent of the CSBG eligible entities are the administrators of the LIHEAP in their service area. The other CSBG eligible entities are acquainted with the local LIHEAP provider and utilize the linkage to serve the low-income in their community. Also, many CSBG eligible entities undertake relationships with direct energy and power service providers, such as Pacific Gas and Electric (PG&E), Southern California Edison and the California Public Utilities Commission.

CSD requires CSBG eligible entities to certify compliance with these assurances in the CAP. The State 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.

(e) Assurance '676(b)(9), 42 U.S.C. §9908(b)(9)

*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. Information describing how the State will carry out this assurance:*

CSD requires CSBG eligible entities to certify compliance with this assurance in the CAP, and provide a description of these community partnerships. These partnerships

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are a great asset to California's CSBG network, allowing CSBG eligible entities to leverage funds, staff, and other resources to assist low-income Californians. 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. Additionally, CSD is committed to working to establish new partnerships and develop existing partnerships which further the goals and objectives of the CSBG program.

## **G. Fiscal Controls and Monitoring**

### **(1) State Program Monitoring**

CSD's plans for conducting reviews of CSBG eligible entities, as required under Section 678(a) of the Act include:

#### **(A) FULL ONSITE REVIEW**

CSD conducts an onsite monitoring review of each CSBG eligible entity at least once every three years in accordance with the Act to ensure compliance.

Annually, CSD staff complete a pre-monitoring assessment review in the areas of board governance, administrative, fiscal, and program performance. The results of the assessment are used to identify the scope of the review and prioritize the onsite monitoring schedule.

If a CSBG eligible entity is not scheduled for a full onsite review, CSD conducts an annual desk review. The desk review includes an evaluation of the board and programmatic and fiscal performance.

During the onsite monitoring visits, an onsite monitoring tool is utilized to verify whether CSBG eligible entities meet the performance goals, administrative standards, financial management requirements, and other provisions included in the CSBG Agreement. During the onsite review CSD and the entities work collaboratively to identify any T&TA needs that will assist to enhance the administration of the CSBG. Also, best practices are identified that can be shared and the CSBG eligible entities.

Following the full onsite and desk reviews, written monitoring reports are issued that identify findings (if applicable), best practices and T&TA topics that will benefit the entity. The findings are monitored closely to ensure that the CSBG eligible entity implements the required corrective action plan. In addition, the T&TA needs are assessed and coordinated with Cal/Neva.

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(B) ONSITE REVIEW OF EACH NEWLY DESIGNATED ENTITY

CSD will ensure that any new CSBG eligible entity designated in 2014 and 2015 will receive a comprehensive onsite compliance review after the completion of the first year of the administration of the CSBG program.

(C) FOLLOW-UP REVIEWS

Follow-up reviews and prompt return visits will be conducted when CSBG eligible entities fail to meet or make progress in addressing the corrective action findings identified during a full onsite monitoring or desk review.

(D) OTHER REVIEWS AS APPROPRIATE

CSD may conduct joint onsite monitoring visits with other programs when an identified issue may impact the administration of the CSBG program.

(E) AUDITS

CSBG eligible entities are required to have a single agency wide audit conducted in accordance with Office of Management & Budget Circular A-133. CSBG eligible entities below the federal funding threshold for an A-133 audit must submit an annual program-specific audit, per the CSBG Agreement. The CSD Audit Services Unit (ASU) reviews the annual audits that are submitted by the CSBG eligible entities receiving funding through CSD. The audits of nonprofit CSBG eligible entities are due to CSD within nine months of the end of their fiscal year. Audits from governmental CSBG eligible entities are submitted through the State Controller's Office with a copy to CSD and are due to CSD nine months after the end of their fiscal year. ASU reviews the audits to ensure compliance with the governing laws and regulations. ASU analyzes the audit reports and follows-up on concerns identified by Field Representatives in the monitoring process. See Appendix H for a listing of CSBG eligible entity A-133 audit reports.

**(2) Corrective Action, Termination and Reduction of Funding**

42 U.S.C. §9915 of the federal CSBG statutes specifies procedures for corrective action, termination, and reduction of funding in compliance with federal law. The process includes:

1. Inform the CSBG eligible entity of the deficiency to be corrected;
2. Require the CSBG eligible entity to correct the deficiency;
3. Offer technical assistance to help correct the deficiency, if appropriate;
4. Allow the CSBG eligible entity to develop and implement a quality improvement plan to correct the deficiency.

(3) **Fiscal Controls, Audits and Withholding**

CSD’s systems of fiscal controls, procedures, and plans for audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act are described below.

(A) ASSURANCE '676(B)(7), 42 U.S.C. §9908(B)(7)

CSD cooperates fully with investigations, audits, and program reviews conducted by the Federal government by providing access to state fiscal and programmatic records. Access to subgrantee or CSBG eligible entity fiscal and programmatic records is assured through contract requirements.

(B) ASSURANCE '676(B)(8), 42 U.S.C. §9908(B)(8)

State regulations (Cal. Code Regs., tit. 22, §100780) establish procedures by which contracts and CSBG eligible entity designation may be terminated, resulting in the termination of funding or reduction below the proportional share. State procedures conform with federal statutory requirements, including proper notice and hearing requirements.

(C) ASSURANCE '676(B)(10), 42 U.S.C. §9908(B)(10)

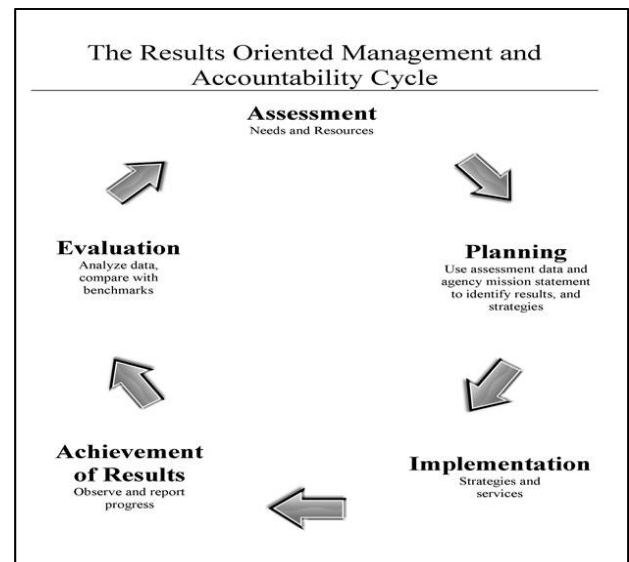
CSD requires each CSBG eligible entity in the state to establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals, which considers him/her/itself to be inadequately represented on the board (or other mechanism) of the CSBG eligible entity, may petition for adequate representation. As part of the CAP, each CSBG eligible entity is required to submit a narrative description specifying how it intends to implement the above assurance.

**H. Accountability and Reporting Requirements**

(1) **Results Oriented Management and Accountability**

In FFY 2014 and 2015, California and the CSBG eligible entities will continue to meet the following assurance in '676(b)(12) of the Act (42 U.S.C. §9908(b)(12)):

*“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 or another performance measure system for*



which the Secretary facilitated development pursuant to Section 678E(b) of the Act.”

The CSBG eligible entities comply with the Results Oriented Management and Accountability (ROMA), a management and accountability process that is focus on achieved results. This is accomplished through the ROMA cycle of the assessment of needs and resources, planning by using assessment data to identify results and strategies, implementation of the strategies and services, observing and reporting on the progress and achievement of results, and the evaluation of the data and benchmark comparison.



CSBG eligible entities report to CSD on the 16 National Performance Indicators (NPIs), designed to measure performance towards meeting the six National Goals of Community Action. CSD annually completes and submits the CSBG Information System Survey (CSBG I/S) to NASCSP. The CSBG I/S contains state level data along with CSBG eligible entity information. NASCSP aggregates the results of the CSBG I/S data from all 50 states and reports to OCS. Additionally, the aggregated results are used as the basis for NASCSP’s CSBG Annual Report.

The six National Goals, along with the corresponding NPIs, are 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

**(2) Annual Report**

Section 678E(a)(2) of the Act, (42 U.S.C. §9917(a)), requires each state to prepare and submit to the Secretary an annual report on the measured performance of the State and its CSBG eligible entities. To comply with these requirements, the report must include an accounting of the expenditure of funds received by the state through the CSBG program, including an accounting of funds spent on administrative costs by the state and the CSBG eligible entities, and funds spent by CSBG eligible entities on the direct delivery of local services. The report must include information on the number of and characteristics of clients served by the CSBG program, based on data collected from the CSBG eligible entities. CSD must also include in the report a summary of the T&TA it offered during the year covered by the report.

**(a) Performance Objectives**

CSD is charged with administering CSBG funds in California to CSBG eligible entities to:



**(b) Program Accomplishments and Activities**

As previously discussed on page 31 of the State Plan, CSD examines the activities and accomplishments of CSBG eligible entities through the collection and review of data submitted for the CSBG I/S. Exhibits A – G on pages 34

through 37 illustrate data collected from CSBG eligible entities for the 2012 program year CSBG I/S Report.

**(c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year**

**(1) PLANNED DISTRIBUTION OF FUNDS TO ELIGIBLE ENTITIES (AS SHOWN IN PREVIOUS STATE PLAN) VS. ACTUAL EXPENDITURES**

**Distribution to CSBG Eligible Entities**

- 2012 *Planned* Distribution: \$54,673,009
- 2012 *Actual* Expenditures: **\$54,673,009**

As reported in Section A: State Use of CSBG Funds of the 2012 CSBG I/S Report, the planned distribution and actual expenditures of funds to CSBG eligible entities were \$54,673,009 in program year 2012 (January through December). No funds were recaptured and redistributed.

**(2) PLANNED DISTRIBUTION OF FUNDS FOR DISCRETIONARY PURPOSES (AS SHOWN IN PREVIOUS STATE PLAN) VS. ACTUAL EXPENDITURES**

**Distribution of Discretionary Funds**

- 2012 *Planned* Distribution: \$3,854,418
- 2012 *Actual* Expenditures: **\$1,900,940**

As reported in Section A: State Use of CSBG Funds of the 2012 CSBG I/S Report, the planned distribution of discretionary funds was \$3,854,418 and the actual expenditures were \$1,900,940. CSD carried forward \$1,953,478 of FFY 2012 discretionary funds to FFY 2013. This remaining balance of discretionary funds was distributed as of June 30, 2013.

**(3) PLANNED USE OF FUNDS FOR STATE ADMINISTRATION (AS SHOWN IN PREVIOUS STATE PLAN) VS. ACTUAL EXPENDITURES**

**Use of State Administrative Funds**

- 2012 *Planned* Use: \$3,005,694
- 2012 *Actual* Expenditures: **\$3,005,694**

As reported in Section A: State Use of CSBG Funds of the 2012 CSBG I/S Report, the planned and actual use of funds for state administration was \$3,005,694.

**(d) Profile of Participants Served (Number and characteristics of clients served)**

In 2012, the gender, age, ethnicity, family type and family size characteristics of the participants served were reported in the CSBG I/S Report. This information is provided in the following exhibits (A – G).

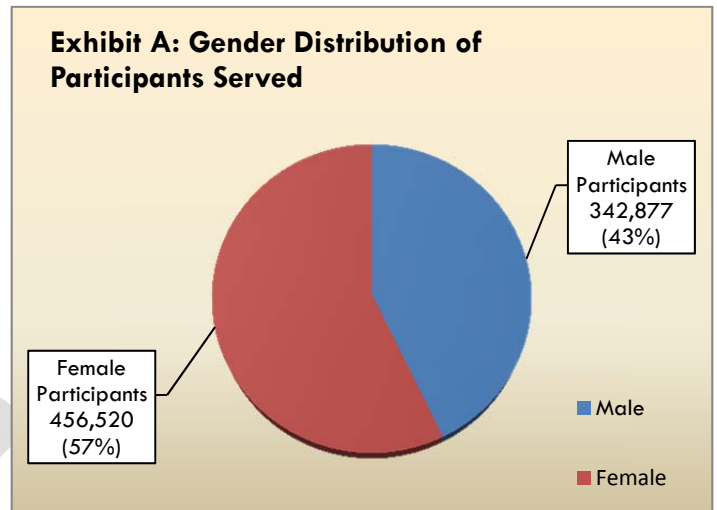
# PROFILE OF PARTICIPANTS SERVED

## GENDER

Exhibit A illustrates the number of male and female participants served by California CSBG eligible entities during the 2012 program year (January – December).

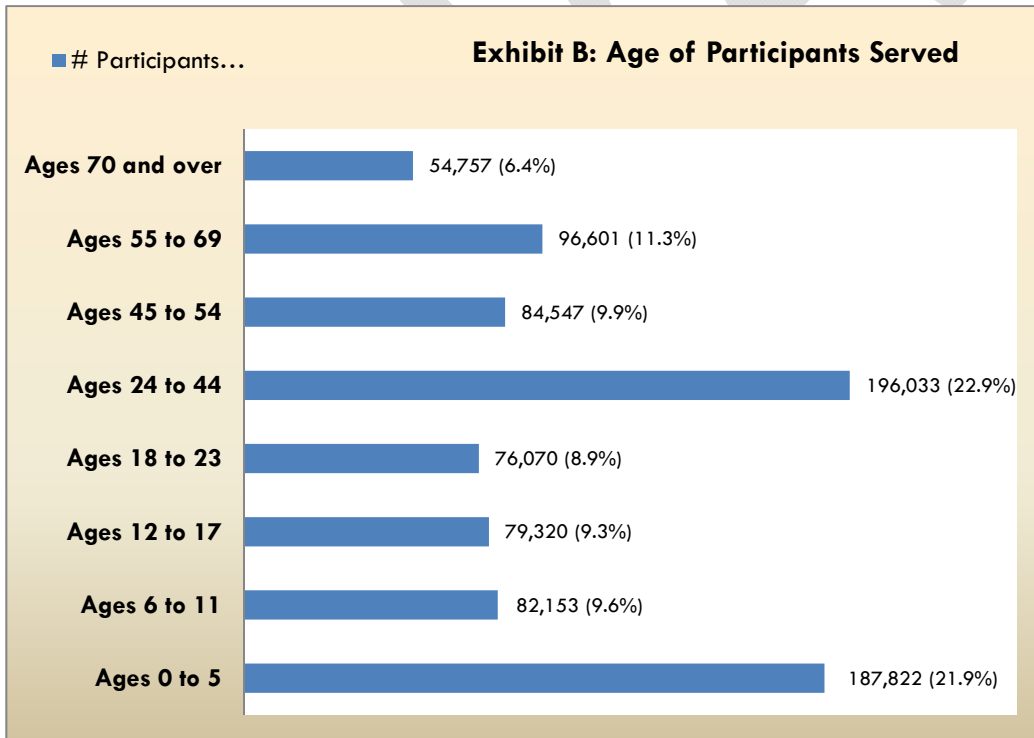


Picture courtesy of Fresno Economic Opportunities Commission



## AGE

Exhibit B illustrates the age distribution of participants served by CSBG eligible entities during the 2012 program year.



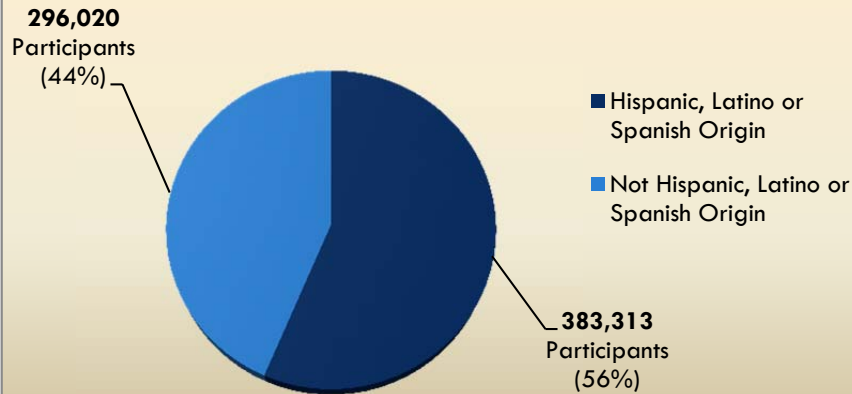
Picture courtesy of Community Action Partnership of San Luis Obispo County, Inc.



Picture courtesy of Tehama County Community Action Agency

## PROFILE OF PARTICIPANTS SERVED

### Exhibit C: Ethnicity of Participants Served



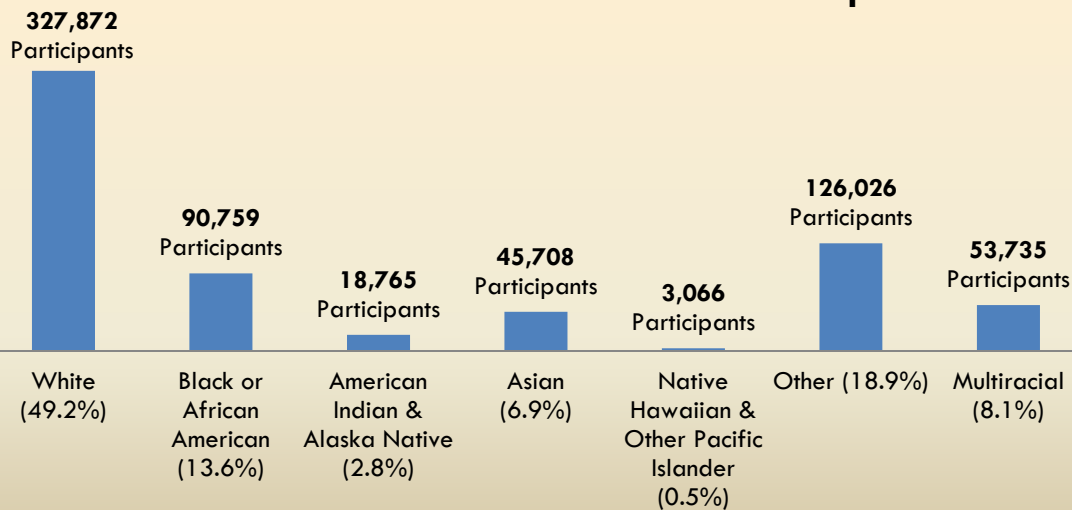
### Ethnicity and Race

Exhibits C and D, reflect the race and ethnicity of the participants served by CSBG eligible entities in 2012.



Picture courtesy of Tehama County Community Action Agency

### Exhibit D: Race of CSBG Participants Served



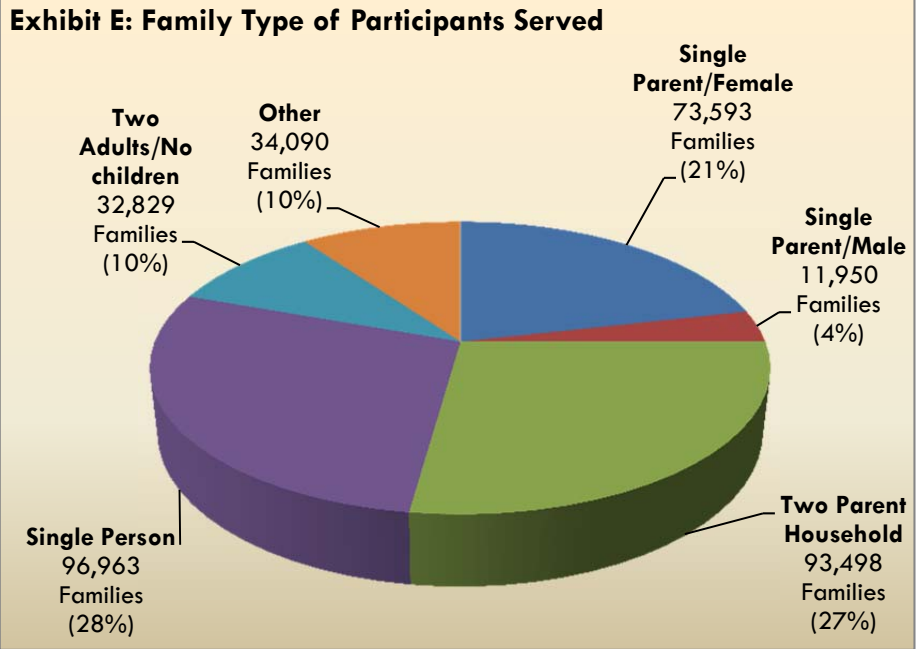
Picture courtesy of Community Action Napa Valley



# PROFILE OF PARTICIPANTS SERVED

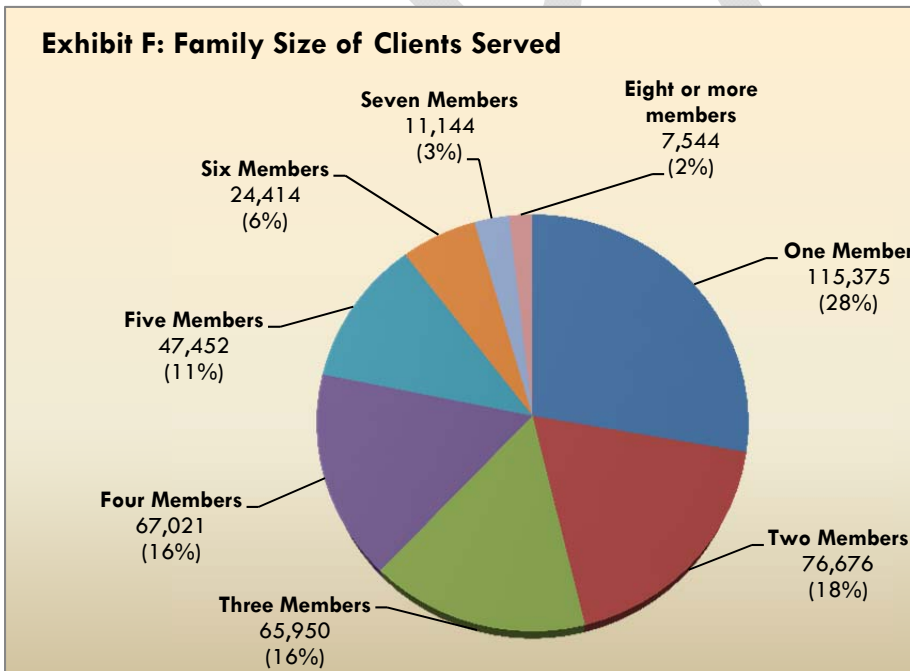


Picture courtesy of Fresno Economic Opportunities Commission



## FAMILY STRUCTURE

Exhibit E illustrates the different family types served by CSBG eligible entities in 2012.



## FAMILY SIZE

Exhibit F illustrates the different sizes of families served by CSBG eligible entities in 2012.



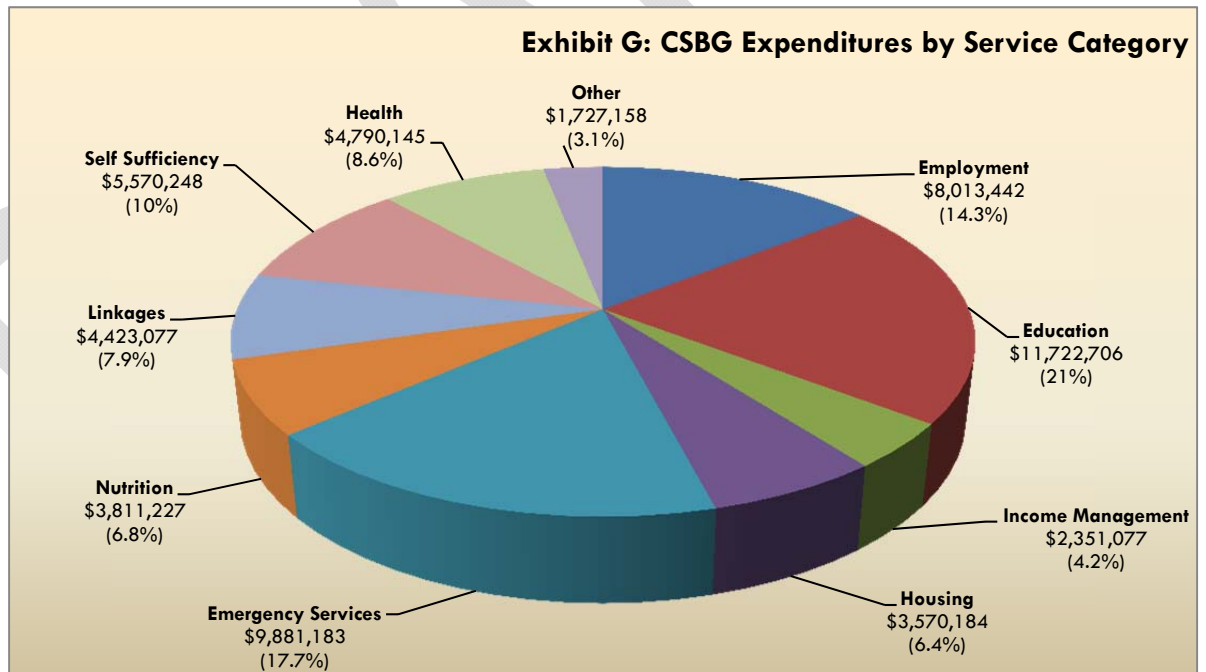
Picture courtesy of Tehama County Community Action Agency

(e) **Statistical Report on CSBG Program Services**

In 2012, the annual CSBG I/S report captured statistical data on CSBG program services (see Exhibit G). CSBG projects are classified by the conditions causing poverty that the CSBG statute identifies as major barriers to economic security. The CSBG service categories include:

- EDUCATION
- EMERGENCY SERVICES
- HEALTH
- HOUSING
- INCOME MANAGEMENT
- LINKAGES
- NUTRITION
- ECONOMIC DEVELOPMENT
- SELF-SUFFICIENCY
- SPECIAL/INNOVATIVE PROGRAMS

Exhibit G below illustrates how CSBG eligible entities expended CSBG funds during the 2012 program year among these categories. It is important to note that projects in any one category may further progress towards multiple goals.



(f) **Training and Technical Assistance (T&TA) Provided by the State**

CSD provides T&TA to CSBG eligible entities to improve fiscal and programmatic accountability and program administration. The different types of T&TA provided are described below.

*Cal/Neva is “the member Association of Community Action Agencies and other Community Services Block Grant funded organizations that together deliver human services across the State of California. The Association’s goal is to provide quality education and training to our network, foster communication and provide legislative advocacy on behalf of individuals served by these programs.”*

[www.cal-neva.org](http://www.cal-neva.org)

**California/Nevada Community Action Partnership (Cal/Neva)**

CSD’s contracts annually with Cal/Neva to conduct T&TA. Cal/Neva’s work plan is updated to prioritize the T&TA services to meet the needs of the CSBG network.

**Competitive T&TA Projects**

Depending on available funding, CSD may issue a competitive Notice of Funding Availability (NOFA) in FFY 2014 and 2015 to support the T&TA needs of CSBG eligible entities in specific categories. The T&TA categories may be determined through work groups, surveys, and expressed areas of concern or departmental priorities. CSD will select T&TA projects that utilize and demonstrate high-impact delivery methods, training curriculum and learning outcomes. The NOFA may be open to CSBG eligible entities and nonprofit organizations.

**CSBG Advisory Committee (CAC) Meetings**

CSD coordinates and hosts quarterly CAC meetings, during which the CSBG network has an opportunity to meet with CSD leadership and staff to discuss program implementation, share best practices and communicate questions or concerns. The CAC meetings provide an effective forum for information sharing and discussion to assist with the administration of the CSBG. The meetings are typically held in Sacramento, allowing for telecommuting options and conference line and webinar options are provided for those who cannot attend in person. CSD anticipates that the CAC meetings will continue to be held on a quarterly basis in FFY 2014 and 2015.

**CSD Training**

CSD staff conduct webinar training on CSBG requirements. Training topics may include the CSBG contract, CAP, fiscal and program reporting, NOFA criteria and other identified areas. Additionally, CSD staff conduct presentations at the CAC meetings on CSBG related topics.

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**VI. APPENDICES**

**A. Letter of Designation**

**B. Documentation of Legislative and Public Hearings**

**C. Public Hearing Transcripts**

**D. Statement of Federal and CSBG Assurances**

**E. October 31, 2012 OCS “Dear Colleague” Letter**

**F. Migrant Seasonal Farmworker Service District Listing**

**G. Native American Indian Allocations**

**H. CSBG Eligible Entity A-133 Audit Reports**

**I. Proof of Current CSD Audit**

**J. Administrative Certifications**

**DRAFT**



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**Appendix A – Letter of Designation**



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,

  
Edmund G. Brown Jr.

GOVERNOR EDMUND G. BROWN JR. • SACRAMENTO, CALIFORNIA 95814 • (916) 445-2841



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**Appendix B – Documentation of Legislative and Public Hearings**

*Public notices forthcoming*

DRAFT

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**Appendix C – Public Hearing Transcripts**

*Transcripts forthcoming after August 20, 2013 Public/Legislative Hearing*

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## STATEMENT OF FEDERAL AND CSBG ASSURANCES

As part of California's biennial application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act by signature at end of this section.

### A. Programmatic Assurances

- (1) *Funds made available through this 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 part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:*
    - (1) *remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency 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);*
    - (2) *secure and retain meaningful employment;*
    - (3) *attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;*
    - (4) *make better use of available income;*
    - (5) *obtain and maintain adequate housing and a suitable living environment;*
    - (6) *obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
    - (7) *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 document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;*
  - (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*

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success in preventing or reducing youth crime, such as 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 after-school child care programs; and

- (c) *To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [‘676(b)(1)]*
- (2) *To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; [‘676(b)(2)]*
- (3) *To provide information provided by eligible entities in the State, including:*
  - (a) *a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;*
  - (b) *a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;*
  - (c) *a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,*
  - (d) *a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [‘676(b)(3)]*
- (4) *To ensure 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. [‘676(b)(4)]*
- (5) *That the State and the 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 to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; [‘676(b)(5)]*
- (6) *To 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 communities.[‘676(b)(6)]*

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- (7) *To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]*
  - (8) *That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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) of the Act.['676(b)(8)]*
  - (9) *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. ['676(b)(9)]*
  - (10) *To 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. ['676(b)(10)]*
  - (11) *To secure from each eligible entity in the State, as a condition to receipt of funding, 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; ['676(b)(11)]*
  - (12) *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) of the Act .['676(b)(12)]*
  - (13) *To provide information describing how the State will carry out these assurances. ['676(b)(13)] (This is the Narrative CSBG State Plan. See section V. for detailed "how to" instructions. )*

## **B. Administrative and Financial Assurances**

*The State further agrees to the following, as required under the Act:*

- (2) *To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]*
- (14) *To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to*

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*the provisions regarding recapture and redistribution of unobligated funds outlined below. [‘675C(a)(1) and (2)]*

- (15) *In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. [‘675C (a)(3)]*
- (16) *To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. [‘675C(b)(2)]*
- (17) *In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [‘675(c)]*
- (18) *That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or ‘675B for the period covered by the State plan. [‘676(a)(2)(B)]*
- (19) *That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State community services block grant program activities. [‘676(a)(1)]*
- (20) *To hold as least one legislative hearing every three years in conjunction with the development of the State plan.[‘676(a)(3)]*
- (21) *To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. [‘676(e)(2)]*
- (22) *To conduct the following reviews of eligible entities:*
  - (a) *full onsite review of each such entity at least once during each three-year period;*
  - (b) *an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;*
  - (c) *follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;*

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- (d) *other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [‘678B(a)]*
- (23) *In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:*
- (a) *inform the entity of the deficiency to be corrected;*
  - (b) *require the entity to correct the deficiency;*
  - (c) *offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;*
  - (d) *at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;*
  - (e) *after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678(C)(a)]*
- (24) *To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.*
- (25) *To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [‘678D(a)(3)]*
- (26) *To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [‘678E(a)(1)].*
- (27) *To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under ‘678E(a)(2) of the Act.*
- (28) *To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.*
- (29) *To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the*



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employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. ['678F(b)]

- (30) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. ['678F(c)]
- (31) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. ['679]

### C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee.. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

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Signature  
Administrator/Director of Designated Lead Agency

Date

## OFFICE OF COMMUNITY SERVICES

An Office of the Administration for Children & Families

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<http://www.acf.hhs.gov/programs/ocs/resource/csbg-fy-2013-update>

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< BACK TO SEARCH

### CSBG Dear Colleague Letter- FY 2013 Update

October 31, 2012

**Audience:** Community Services Block Grants (CSBG)

**Topics:** Grant Awards, Guidance, Policies, and Procedures

**Types:** Dear Colleague Letters

**Tags:** authority, eligibility, funding, grant review, grantees, guidelines, participant, reviewer

Dear Colleagues:

Two weeks ago, the Office of Community Services (OCS) awarded new grants and contracts that will help support the development of new organizational standards and performance management protocols for Community Services Block Grants (CSBG). This will be a challenging national undertaking requiring unprecedented levels of communication and coordination among Federal, State, and association partners over several months. Our goal is to revitalize CSBG performance management, assure high standards of accountability for Federal funds in all communities that receive CSBG resources, and to help prepare communities to most effectively address the challenges of poverty in a dramatically transforming economy.

This message describes new developments for CSBG in the upcoming Fiscal Year (FY 2013), the organizational partners selected for a national partnership focused on organizational standards and performance management, some major expected milestones for the development of standards in the upcoming year, and answers to some anticipated questions. We encourage all State CSBG lead agencies and CSBG Training and Technical Assistance (T/TA) grantees to review this message. We are also asking State CSBG lead agencies to share this update within your State CSBG networks so that all recipients of CSBG funding have access to the same information.

#### **FY 2013 CSBG Budget Update**

On Friday, September 29, President Obama signed a continuing appropriations resolution (H.J.Res (<http://www.gpo.gov/fdsys/pkg/BILLS-112hjres117ihvpdf/BILLS-112hjres117ih.pdf>). 117) that will provide funding for the Federal government through Wednesday, March 27, 2013 (or approximately 6 months). Although the final appropriation for FY 2013 is not yet determined, the passage of the continuing resolution means that CSBG grants will be awarded through the end of March at the prior year levels. A chart outlining CSBG 1<sup>st</sup> quarter allocation amounts for States, Tribes and Territories is attached and will be posted to the OCS website. Quarterly allocations are being released upon acceptance of FY 2013 CSBG Plans. When each plan is accepted as complete, CSBG contacts for States, Territories and Tribes will receive an electronic copy of the award document. In addition, an official award letter will be distributed by the Office of Grants Management to the responsible CSBG official.

#### **FY 2013 Performance Standards and Performance Management Effort**

The FY 2013 President's budget request for CSBG included plans to assure that CSBG resources are allocated to high-performing, innovative agencies meeting a set of core Federal standards. Over the upcoming year, OCS plans to continue to work with Congress and a wide variety of organizational stakeholders to establish a set of core Federal standards that States will be required to use to assess whether an eligible entity is meeting a high standard of service delivery.

OCS will identify and finalize new standards and performance management protocols through a deliberative process that includes consultations and written recommendations received from major national associations, States, and technical assistance providers. The ongoing deliberative process will also include an array of experts from outside the CSBG Network, who will provide a fresh perspective on the development of specific standards and performance management.

As the deliberative process will be an open and transparent process, the CSBG Network should be aware of our planned timeline. A major key target date is as follows:

- By July 31, 2013, the Administration of Children and Families (ACF) grantees and contractors will have completed deliberative processes with network participants and outside experts and will deliver information to ACF on core standards. Standards will inform future administration and legislative efforts to use a set of core standards and competition to achieve high-quality service delivery and to institute competition when agencies do not meet the standards.

Although new core Federal standards will include compliance with basic requirements of the CSBG Act, we will also go beyond basic compliance to focus on high-quality performance across the CSBG Network. Core performance standards will focus on organizational management issues, financial management, the quality of services, and the strategic process for Results Oriented Management and Accountability (ROMA).

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### **Organizational Partners**

Key partners in the OCS process for developing and implementing new organizational standards and building the ROMA Cycle will include State CSBG lead agencies as well as two new Centers of Excellence (COEs), 11 Regional Performance and Innovative Consortia (RPIC) grants and other supporting contracts to convene and refine Federal guidance.

- A new Organizational Standards COE will assist States and local CSBG-eligible entities to set and meet high performance standards that can be used across the Network in areas such as organizational leadership, human resource management, financial operations, consumer input and involvement, community engagement, and board governance. This COE, CSBG T/TA Organizational Standards, will coordinate the development and dissemination of a core set of standards with input from the State, regional and national partners. The COE will develop a product with input from all key stakeholders and will create tools for organizational assessment that can be used by States and local CSBG-eligible entities to set and meet high-quality organizational performance standards and accountability. The grantee for this effort, selected through a national competition, is Community Action Partnership (CAP), which has extensive experience with organizational standards.
- A new Results Oriented Management and Accountability (ROMA) Next Generation COE will develop updated T/TA materials building on the ROMA cycle of performance management. Efforts of this COE will include tools for high-quality needs assessments; community CSBG plans that use evidence-informed service approaches targeted to the highest priority needs; guidance on setting challenging outcome goals; and documentation and analysis of progress and results. The grantee for this effort, also selected through a competitive application process, is the National Association for State Community Services Programs (NASCSPP), which has extensive experience with prior ROMA efforts.
- The 11 new Regional Performance and Innovative Consortia (RPIC) are composed of representative State Associations of Community Action Agencies (CAAs) for the States within each region. RPICs are required to commit resources to support organizational standards and ROMA Next Generation practices. These regional grants will play a key role in the new efforts related to organizational standards as well as new implementation standards for ROMA. Critical functions include: 1) obtaining and providing regional input on performance measurement and performance standards; 2) participating in national work groups; 3) facilitating and providing training on performance standards and measurement techniques; and 4) assisting State CAA Associations and CSBG-eligible entities in analyzing community needs assessment data, setting challenging service delivery goals, identifying evidence-informed service plans, and documenting outcomes based on the ROMA cycle of performance management. The Grantees selected for this effort are as follows:
  - **Region 1 (CT, MA, NH, ME, RI, VT) – Connecticut Association for Community Action;**  
OCS Program Specialist: Maria Rogers
  - **Region 2 (NJ, NY, PR, USVI) – New York State Community Action Association;**  
OCS Program Specialist: Chryston Jones
  - **Region 3 (DC, MD, PA, VA, WV) – Virginia Community Action Partnership;**  
OCS Program Specialist: James Gray
  - **Region 4 (Two RPIC grants awarded)**
    - **Area A (AL, GA, MS, FL) – Georgia Community Action Association;**
    - **Area B (NC, SC, TN, KY) – Community Action Kentucky;**OCS Program Specialist: Maria Rogers
  - **Region 5 (IL, IN, MI, MN, OH, WI) – Indiana Community Action Association;**  
OCS Program Specialist: Chryston Jones
  - **Region 6 (AR, LA, NM, TX, OK) – Oklahoma Association of Community Action Agencies;**  
OCS Program Specialist: Chryston Jones
  - **Region 7 (IA, KS, MO, NE) – Kansas Association of Community Action Programs;**  
OCS Program Specialist: James Gray
  - **Region 8 (CO, MO, ND, SD, WY, UT) – North Dakota Community Action Partnership;**  
OCS Program Specialist: Vanness Hughes

- 
- **Region 9 (AZ, CA, NV, HI, GU) – California/Nevada Community Action Partnership;** and

OCS Program Specialist: James Gray

- **Region 10 (AK, ID, OR, WA) – Community Action Partnership of Oregon.**

**OCS Program Specialist: Vanness Hughes**

- In addition to the new Centers of Excellence and the RPIC grantees, OCS has issued a task order contract to the Urban Institute, to help obtain expert analysis from outside the current CSBG network. UI will provide recommendations for improvements in performance management and documentation of program results at local, State and Federal levels. UI will work in partnership with OCS to coordinate development of new performance management tools and protocols.

### **Key Questions**

- **What is the expected relationship between State CSBG lead agencies and RPIC?**

*Under the block grant structure, State CSBG lead agencies must play a strong and active leadership role in the administration, monitoring, assessment and performance management within each State network. Therefore, it is essential that the RPIC grantees develop and maintain strong partnerships with State CSBG lead agencies. RPIC grantees and their participating State associations must maintain regular communication with State CSBG administrators, must be familiar with applicable State statutory, regulatory, and procedural requirements, and must work in partnership with State CSBG Administrators to promote the application of new performance management tools and protocols.*

- **How will OCS coordinate the activities of all parties involved in the development of new performance management tools and protocols?**

*Through a contract with the Urban Institute, OCS will host three working group meetings to solicit input and coordinate plans for implementation of new standards and performance management protocols. The exact dates are to be determined, but these meetings are expected to be held in December, February and April. In advance of these meetings, OCS will solicit work plans, review timelines, and facilitate discussions between the new COEs, the Urban Institute, and other parties to review areas of necessary coordination. The deliberative process that ACF is supporting, including consultations and written recommendations received from major national associations, States, and technical assistance providers, has already started to reform efforts and allows for buy-in from key stakeholders, which will be essential for future success. The ongoing deliberative process will also include experts from outside the CSBG Network, who will provide a fresh perspective on the development of specific standards and performance management.*

- **Does OCS anticipate legislative changes or new regulations to support the implementation of new standards, performance management tools and protocols?**

*ACF expects to work with Congress to secure legislative authority as necessary to support a new system of standards that will trigger competition when local agencies do not meet the standards. However, OCS believes the products and results of the new working groups, grants and contracts outlined above will provide a supportive base for improved management of CSBG regardless of whether legislative changes occur. The process that will be implemented over the next year is consistent with existing authorities and will provide important benefits to the CSBG network.*

### **Conclusion**

The CSBG network is positioned to make significant progress in efforts to implement new core standards and performance management tools and protocols, but some of the most challenging work lies ahead over the next several months. We look forward to continuing partnership in these efforts.

Sincerely,

Jeannie L. Chaffin

Director

Office of Community Services

Administration for Children and Families

Department of Health and Human Services

Seth Hassett

Director, Division of State Assistance

Office of Community Services

Administration for Children and Families

Department of Health and Human Services

**Appendix F – Migrant Seasonal Farmworker Service District Listing**

California Human Development - District I	Central Valley Opportunity Center, Inc. - Partial District II	Proteus - Partial District II	Center for Employment Training - District III
COUNTY	COUNTY	COUNTY	COUNTY
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	Mariposa Tuolumne Stanislaus Madera Merced	Fresno Kern Kings Tulare	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

**Appendix G –Native American Indian Allocations**

COUNTY	RESERVATION OR RANCHERIA	Northern California Indian Development Council, Inc.	Karuk	County of L.A. L.A. City/County Native American Indian Commission of Los Angeles
<b>Alameda</b>		33,678		
<b>Alpine</b>		1,000		
	Woodfords Comm. Council	3,046		
<b>Amador</b>		1,000		
	Buena Vista Rancheria	1,000		
	Ione Band of Miwok	1,000		
	Jackson Rancheria	1,000		
<b>Butte</b>		14,612		
	Berry Creek Rancheria	1,000		
	Chico Rancheria/Mechoopda TDSA	2,372		
	Enterprise Rancheria	1,000		
	Mooretown Rancheria	2,167		
<b>Calaveras</b>		7,497		
	Sheep Ranch Rancheria	1,000		
<b>Colusa</b>		1,000		
	Colusa Rancheria	1,000		
	Cortina Rancheria	1,000		
<b>Contra Costa</b>		7,790		
	Lytton Rancheria	1,000		
<b>Del Norte</b>		4,188		
	Elk Valley Rancheria		2,020	
	Resighini Rancheria	1,000		
	Smith River Rancheria	1,230		
	Yurok Indian Reservation	13,998		
<b>El Dorado</b>		5,359		
	Shingle Springs Rancheria	1,962		
<b>Fresno</b>		75,291		
	Big Sandy Rancheria	5,271		
	Cold Springs Rancheria	2,372		
	Table Mountain Res.	1,000		
<b>Glenn</b>		6,179		
	Grindstone Creek Rancheria	2,753		
<b>Humboldt</b>		33,823		
	Big Lagoon Rancheria	1,347		
	Blue Lake Rancheria	1,260		
	Hoopa Valley Reservation		58,305	

COUNTY	RESERVATION OR RANCHERIA	Northern California Indian Development Council, Inc.	Karuk	County of L.A. L.A. City/County Native American Indian Commission of Los Angeles
	Rohnerville Rancheria	1,000		
	Table Bluff Rancheria	3,075		
	Trinidad Rancheria	3,456		
<b>Imperial</b>		14,408		
<b>Inyo</b>		2,840		
	Big Pine Indian Res.	4,745		
	Bishop Indian Reservation	36,723		
	Timbi-Sha Shoshone/Death Valley Indian Village	1,000		
	Fort Indep. Reservation	1,172		
	Lone Pine Reservation	2,665		
<b>Kern</b>		53,356		
	Tejon Tribe	1,000		
<b>Kings</b>		7,790		
	Santa Rosa Rancheria	16,399		
<b>Lake</b>		5,095		
	Big Valley Rancheria	6,413		
	Lower Lake Rancheria	1,000		
	Middletown Rancheria	1,000		
	Robinson Rancheria	1,553		
	Scotts Valley Band of Pomo	1,000		
	Sulphur Bank Rancheria	1,494		
	Upper Lake Rancheria	1,000		
<b>Lassen</b>		14,057		
	Susanville Indian Ranch	6,238		
<b>Los Angeles</b>				247,453
<b>Madera</b>		11,655		
	North Fork Rancheria	1,962		
	Picayune Rancheria	5,417		
<b>Marin</b>		2,899		
<b>Mariposa</b>		1,610		
<b>Mendocino</b>		19,211		
	Coyote Valley Res.	3,778		
	Guideville Rancheria	2,460		
	Hopland Rancheria	3,954		
	Laytonville Rancheria	2,342		
	Manchester-Pt. Arena Ran	7,526		
	Pinoleville Rancheria	8,463		
	Potter Valley Rancheria	1,000		
	Redwood Valley Rancheria	5,242		
	Round Valley Reservation	7,966		

COUNTY	RESERVATION OR RANCHERIA	Northern California Indian Development Council, Inc.	Karuk	County of L.A. L.A. City/County Native American Indian Commission of Los Angeles
	Sherwood Valley Rancheria	3,192		
<b>Merced</b>		21,494		
<b>Modoc</b>		1,347		
	Alturas Rancheria		1,000	
	Cedarville Rancheria		1,000	
	Fort Bidwell Reservation	1,523		
	Likely Rancheria	1,000		
	Lookout Rancheria	1,000		
	Pitt River Indian Tribe	1,000		
	XL Ranch	1,000		
<b>Mono</b>		2,196		
	Benton Paiute Reservation	1,142		
	Bridgeport Indian Colony	1,000		
<b>Monterey</b>		40,705		
<b>Napa</b>		8,580		
<b>Nevada</b>		7,790		
<b>Orange</b>		56,109		
<b>Placer</b>		6,208		
	Auburn Rancheria	1,000		
<b>Plumas</b>		3,544		
	Greenville Rancheria	1,000		
<b>Riverside</b>		97,810		
	Agua Caliente Reservation	5,447		
	Augustine Reservation	1,000		
	Cabazon Reservation	1,000		
	Cahuilla Reservation	1,903		
	Morongo Reservation	12,944		
	Pechanga Indian Res	2,928		
	Ramona Reservation	1,000		
	Santa Rosa Reservation	2,430		
	Soboba Reservation	4,481		
	Torres-Martinez Reservation	5,857		
<b>Sacramento</b>		69,492		
<b>San Benito</b>		6,179		
<b>San Bernardino</b>		123,405		
	Chemehuevi Reservation	5,300		
	Colorado River Indian Res	1,000		
	Fort Mojave Reservation	5,212		



COUNTY	RESERVATION OR RANCHERIA	Northern California Indian Development Council, Inc.	Karuk	County of L.A. L.A. City/County Native American Indian Commission of Los Angeles
	San Manuel Reservation	1,000		
	Twenty-Nine Palms Res	1,000		
<b>San Diego</b>		105,043		
	Barona Indian Reservation	13,354		
	Campo Reservation	13,823		
	Capitan Grande Res	1,000		
	Cuyapaipe/Ewiiapaayp Reservation	1,000		
	Inaja and Cosmit Res	1,000		
	Jamul Indian Village Res	1,000		
	La Jolla Reservation	4,949		
	La Posta Reservation	1,000		
	Los Coyotes Reservation	1,000		
	Manzanita Reservation	1,318		
	Mesa Grande Reservation	1,000		
	Pala Reservation	11,772		
	Pauma Indian Reservation	5,124		
	Rincon Indian Reservation	11,011		
	San Pasqual Reservation	12,036		
	Santa Ysabel Reservation	4,041		
	Sycuan Reservation	3,046		
	Viejas Indian Reservation	2,167		
<b>San Francisco</b>		20,938		
<b>San Joaquin</b>		54,352		
<b>San Luis Obispo</b>		8,434		
<b>San Mateo</b>		10,513		
<b>Santa Barbara</b>		30,075		
	Santa Ynez Reservation	7,321		
<b>Santa Clara</b>		47,909		
<b>Santa Cruz</b>		5,095		
<b>Shasta</b>		34,438		
	Big Bend Rancheria	1,000		
	Montgomery Creek Ranch	1,000		
	Redding Rancheria	1,000		
	Roaring Creek Rancheria	1,000		
<b>Sierra</b>		1,000		
<b>Siskiyou</b>		10,777		
	Karuk Tribe of California		7,087	
	Quartz Valley Indian Res	1,406		

COUNTY	RESERVATION OR RANCHERIA	Northern California Indian Development Council, Inc.	Karuk	County of L.A. LA City/County Native American Indian Commission of Los Angeles
<b>Solano</b>		11,889		
<b>Sonoma</b>		23,896		
	Cloverdale Rancheria	1,000		
	Dry Creek Rancheria	1,000		
	Graton Rancheria	1,000		
	Stewarts Point Rancheria	2,782		
<b>Stanislaus</b>		20,587		
<b>Sutter</b>		11,187		
<b>Tehama</b>		9,049		
	Paskenta Rancheria	1,000		
<b>Trinity</b>		1,000		
<b>Tulare</b>		32,359		
	Tule River Reservation	26,473		
<b>Tuolumne</b>		4,774		
	Chicken Ranch Rancheria	1,000		
	Tuolumne Rancheria	2,811		
<b>Ventura</b>		32,769		
<b>Yolo</b>		14,759		
	Rumsey Rancheria	1,000		
<b>Yuba</b>		8,049		
<b>TOTAL CORE FUNDING</b>		<b>\$1,663,703</b>	<b>\$69,412</b>	<b>\$247,453</b>
		<b>\$176,250</b>	<b>\$42,000</b>	<b>-</b>
<b>GRAND TOTAL</b>		<b>\$1,839,953</b>	<b>\$111,412</b>	<b>\$246,453</b>

## Appendix H – CSBG Eligible Entity A-133 Audit Reports

<b>CSBG Eligible Entity</b>	<b>Single Audit Period</b>	<b>Audit Report Date</b>
Community Action Partnership of Kern	Mar 1, 2011 - Feb 28, 2012	11/14/2012
Community Action Partnership of Sonoma County	Mar 1, 2011 - Feb 28, 2012	9/18/2012
Community Action Partnership of San Luis Obispo County	Apr 1, 2011 - Mar 31, 2012	7/24/2012
Amador-Tuolumne Community Action Agency	Jul 1, 2011 - Jun 30, 2012	11/12/2012
Berkeley Community Action Agency	Jul 1, 2011 - Jun 30, 2012	12/21/2012
Center for Employment Training	Jul 1, 2011 - Jun 30, 2012	11/6/2012
California Human Development	Jul 1, 2011 - Jun 30, 2012	10/31/2012
Calaveras-Mariposa Community Action Agency	Jul 1, 2011 - Jun 30, 2012	12/14/2012
Contra Costa Employment & Human Services	Jul 1, 2011 - Jun 30, 2012	12/17/2012
Community Services & Employment Training, Inc.	Jul 1, 2011 - Jun 30, 2012	12/17/2012
Campeños Unidos, Inc.	Jul 1, 2011 - Jun 30, 2012	12/14/2012
Del Norte Senior Center	Jul 1, 2011 - Jun 30, 2012	3/25/2013
El Dorado County Department of Human Services	Jul 1, 2011 - Jun 30, 2012	3/29/2013
Glenn County Human Resource Agency	Jul 1, 2011 - Jun 30, 2012	3/28/2013
Inyo Mono Advocates for Community Action, Inc.	Jul 1, 2011 - Jun 30, 2012	10/29/2012
City of Los Angeles Community Development Department	Jul 1, 2011 - Jun 30, 2012	3/29/2013
County of Los Angeles Department of Public Social Services	Jul 1, 2011 - Jun 30, 2012	3/19/2013
Community Action Partnership of Madera County, Inc.	Jul 1, 2011 - Jun 30, 2012	12/13/2012
Community Action Marin	Jul 1, 2011 - Jun 30, 2012	12/15/2012
Merced County Community Action Agency	Jul 1, 2011 - Jun 30, 2012	12/10/2012
Modoc-Siskiyou Community Action Agency	Jul 1, 2011 - Jun 30, 2012	3/29/2013
Monterey County Community Action Partnership	Jul 1, 2011 - Jun 30, 2012	12/20/2012
North Coast Opportunities	Jul 1, 2011 - Jun 30, 2012	11/30/2012
Community Action of Napa Valley	Jul 1, 2011 - Jun 30, 2012	3/28/2013
Nevada County Department of Housing and Community	Jul 1, 2011 - Jun 30, 2012	12/20/2012
City of Oakland, Department of Human Services	Jul 1, 2011 - Jun 30, 2012	12/21/2012
Lassen/Plumas/Sierra Community Action Agency	Jul 1, 2011 - Jun 30, 2012	12/15/2012
Proteus, Inc.	Jul 1, 2011 - Jun 30, 2012	2/21/2013

<b>CSBG Eligible Entity</b>	<b>Single Audit Period</b>	<b>Audit Report Date</b>
Community Action Partnership of Riverside County	Jul 1, 2011 - Jun 30, 2012	12/20/2012
Sacred Heart Community Service	Jul 1, 2011 - Jun 30, 2012	10/23/2012
San Benito County Department of Community Services & Workforce	Jul 1, 2011 - Jun 30, 2012	3/29/2013
County of San Diego, Health and Human Services Agency, Community Action Partnership	Jul 1, 2011 - Jun 30, 2012	11/16/2012
San Joaquin County Department of Aging, Children and Community Services	Jul 1, 2011 - Jun 30, 2012	12/31/2012
San Mateo County Human Services Agency	Jul 1, 2011 - Jun 30, 2012	10/31/2012
Sacramento Employment and Training Agency	Jul 1, 2011 - Jun 30, 2012	10/29/2012
Economic Opportunity Commission of San Francisco	Jul 1, 2011 - Jun 30, 2012	12/17/2012
Shasta County Community Action Agency	Jul 1, 2011 - Jun 30, 2012	12/21/2012
Community Action Partnership of Solano	Jul 1, 2011 - Jun 30, 2012	4/1/2013
Tehama County Community Action Agency	Jul 1, 2011 - Jun 30, 2012	2/21/2013
County of Yolo, Department of Employment & Social Services	Jul 1, 2011 - Jun 30, 2012	2/8/2013
Yuba County Community Services Commission	Jul 1, 2011 - Jun 30, 2012	3/28/2013
Central Valley Opportunity Center, Inc.	Oct 1, 2011 - Sep 30, 2012	3/14/2012
Karuk Tribe of California	Oct 1, 2010 - Sep 30, 2011	6/25/2013
Rural Community Assistance Corporation	Oct 1, 2010 - Sep 30, 2011	12/17/2012
Community Action Agency of Butte County, Inc.	Jan 1, 2011 - Dec 31, 2011	6/1/2012
California/Nevada Community Action Partnership	Jan 1, 2011 - Dec 31, 2011	8/28/2012
Foothill Unity Center, Inc.	Jan 1, 2011 - Dec 31, 2011	12/18/2012
Fresno County Economic Opportunities Commission	Jan 1, 2011 - Dec 31, 2011	6/12/2012
Kings Community Action Organization, Inc.	Jan 1, 2011 - Dec 31, 2011	6/12/2013
Long Beach Community Services Development Corp., Inc.	Jan 1, 2011 - Dec 31, 2011	1/25/2013
Northern California Indian Development Council, Inc.	Jan 1, 2012 - Dec 31, 2012	4/12/2013
Community Action Partnership of Orange County	Jan 1, 2012 - Dec 31, 2012	5/20/2013
Project Go, Inc.	Jan 1, 2011 - Dec 31, 2011	4/30/2012
Redwood Community Action Agency	Jan 1, 2011 - Dec 31, 2011	8/28/2012
Community Action Partnership of San Bernardino County	Jan 1, 2011 - Dec 31, 2011	9/14/2012
Community Action Commission of Santa Barbara County	Jan 1, 2011 - Dec 31, 2011	8/16/2012
Community Action Board of Santa Cruz County, Inc.	Jan 1, 2011 - Dec 31, 2011	6/7/2012
Community Action of Ventura County, Inc.	Jan 1, 2011 - Dec 31, 2011	8/29/2012

# CALIFORNIA STATE AUDITOR

## State of California

Internal Control and State and Federal Compliance  
Audit Report for the Fiscal Year Ended June 30, 2011

March 2012 Report 2011-002



Independent NONPARTISAN  
TRANSPARENT Accountability

**CERTIFICATION REGARDING 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.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_

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## **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 Exclusion-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 it 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.

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#### 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



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providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was 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.

3. 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.

4. 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.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] 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.

6. 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.

7. 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.

8. 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.

9. Except for transactions authorized under paragraph 5 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.

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**Certification Regarding Debarment, Suspension, Ineligibility an 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.

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## **CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

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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.

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### **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 not 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);

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

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## **CERTIFICATION REGARDING 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.