



## Human Welfare and Community Action Commission

### AGENDA

Wednesday, March 6, 2024  
6:30 PM

**PUBLIC ADVISORY: THIS MEETING WILL BE AVAILABLE TO ATTEND AT TWO DIFFERENT LOCATIONS.**

#### **MEETING LOCATION #1**

2180 Milvia Street  
Berkeley, CA 94704

#### **MEETING LOCATION #2**

1447 Kains Avenue  
Berkeley, CA 94702

#### **Preliminary Matters**

1. Roll Call
2. Agenda Approval
3. Public Comment

#### **Update/Action Items**

*The Commission may take action related to any subject listed on the agenda, except where noted.*

#### **Berkeley Community Action Agency Board Business**

1. Approve minutes from the 2/21/2024 Regular Meeting (Attachment A) – All
2. Election of Low-Income Commissioners
3. Discussion and Possible Action on the FY25-FY28 Community Agency Request for Proposal (RFP) applications (Attachment B) – All
4. CA State Letter to BCAA RE: 45-Day Notice of Anticipated High-Risk Designation Based on The City of Berkeley's Failure to Maintain Required CSBG Tripartite Board Structure and Failure to Administer Programs Through Tripartite Board; Required Response and Corrective Action Due by March 18, 2024 (Attachment C) – Chair and Staff
5. Review City of Berkeley funded agency Program and Financial reports (Attachment D) – Staff
  - a. Multicultural Institute program and financial reports

#### **Other Discussion Items**

6. Discussion and possible action on the proposed merger of the HWCAC and Peace and Justice Commission – Behm-Steinberg
7. Discussion of Fire Marshal's report and its implications - (Attachment E) – Commissioners Behm-Steinberg
8. Discussion on Public Reverse Mortgage – (Attachment F) – Commissioners Behm-Steinberg
9. Discussion and possible action on difficulties of attaining benefits local residents qualify for from approved providers - Commissioners Behm-Steinberg
10. Discussion and possible action on holding hybrid Commission meetings (Attachment G) – Commissioners Behm-Steinberg
11. Review latest City Council meeting agenda
12. Announcements
13. Future Agenda Items

### **Adjournment**

### **Attachments**

- A. Draft Minutes of the 2/21/2024 Meeting
- B. Community Agency RFP applications and budgets
- C. CA State Letter to BCAA
- D. Program and financial reports from Multicultural Institute
- E. City of Berkeley Fire Marshal's Report, FY 2024
- F. Reverse Mortgage Presentation
- G. Draft Council items regarding the reestablishment of hybrid commission meetings

Review City Council Meeting Agenda at City Clerk Dept. or  
<http://www.cityofberkeley.info/citycouncil>

### **Communications**

Communications to Berkeley boards, commissions or committees are public record and will become part of the City's electronic records, which are accessible through the City's website. **Please note: e-mail addresses, names, addresses, and other contact information are not required, but if included in any communication to a City board, commission or committee, will become part of the public record.** If you do not want your e-mail address or any other contact information to be made public, you may deliver communications via U.S. Postal Service or in person to the secretary of the relevant board, commission or committee. If you do not want your contact information included in the public record, please do not include that information in your communication. Please contact the secretary to the relevant board, commission or committee for further information. Any writings or documents provided to a majority of the Commission regarding any item on this agenda will be made available for public inspection at Housing and Community Services Department located at 2180 Milvia Street, 2nd Floor.

This meeting is being held in a wheelchair accessible location. To request a disability-related accommodation(s) to participate in the meeting, including auxiliary aids or services, please contact the Disability Services specialist

Agenda – HWCAC

March 6, 2024

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at 981-6418 (V) or 981-6347 (TDD) at least three business days before the meeting date. **Please refrain from wearing scented products to this meeting.**

**Secretary:**

Mary-Claire Katz  
Health, Housing & Community Services Department  
510-981-5414  
[mkatz@berkeleyca.gov](mailto:mkatz@berkeleyca.gov)

**Mailing Address:**

Human Welfare and Community Action Commission  
Mary-Claire Katz, Secretary  
2180 Milvia Street, 2<sup>nd</sup> Floor  
Berkeley, CA 94704



## Human Welfare and Community Action Commission

### DRAFT MINUTES

Wednesday, February 21, 2024  
6:30 PM

**PUBLIC ADVISORY: THIS MEETING WILL BE AVAILABLE TO ATTEND AT TWO DIFFERENT LOCATIONS.**

#### MEETING LOCATION #1

2180 Milvia Street  
Berkeley, CA 94704

#### MEETING LOCATION #2

1447 Kains Avenue  
Berkeley, CA 94702

#### Preliminary Matters

1. Roll Call  
Present: Behm-Steinberg, Cruz, Lippman  
Absent: None  
Quorum: 3 (Attended: 3)  
Staff Present: Mary-Claire Katz  
Public Present: Maria Sol, Mina Lewenstein, Greg
2. Agenda Approval  
Move agenda item number 4 before agenda item number 1.
3. Public Comment  
None.

#### Update/Action Items

***The Commission may take action related to any subject listed on the agenda, except where noted.***

#### **Berkeley Community Action Agency Board Business**

1. Approve minutes from the 2/7/2024 Regular Meeting (Attachment A) – All  
**Action:** M/S/C (Lippman/Behm-Steinberg) to approve the minutes from the 2/7/2024 regular meeting.  
**Roll Call Vote:** Ayes – Behm-Steinberg, Cruz, Lippman. Noes –None; Abstain – None; Absent – None.
2. Discussion and Possible Action on the FY25-FY28 Community Agency Request for Proposal (RFP) funding, timeline and process (Attachment B) – All  
No action taken.

3. Review City of Berkeley funded agency Program and Financial reports (Attachment C) — Staff
  - a. Multicultural Institute program and financial reports  
 No action taken.

### Other Discussion Items

4. Discussion and possible action on the proposed merger of the HWCAC and Peace and Justice Commission – Behm-Steinberg  
**Action:** M/S/C (Behm-Steinberg/Lippman) to authorize a representative of the HWCAC to attend the Agenda & Rules Policy Committee and make a public comment regarding the merger and a letter from the CA State Dept. of Community Services to the BCAA warning of potential designation as a high-risk community agency due to long-term vacancies on the HWCAC.  
**Roll Call Vote:** Ayes – Behm-Steinberg, Cruz, Lippman. Noes –None; Abstain – None; Absent – None.
5. Discussion of Fire Marshal's report and its implications - (Attachment D) – Commissioners Behm-Steinberg  
 No action taken.
6. Discussion on Public Reverse Mortgage – (Attachment E) – Commissioners Behm-Steinberg  
 No action taken.
7. Discussion and possible action on difficulties of attaining benefits local residents qualify for from approved providers - Commissioners Behm-Steinberg  
 No action taken.
8. Discussion and possible action on holding hybrid Commission meetings (Attachment F) – Commissioners Behm-Steinberg  
 No action taken.
9. Review latest City Council meeting agenda  
 No action taken.
10. Announcements  
 No action taken.
11. Future Agenda Items  
 No action taken.

### Adjournment

**Action:** M/S/C (Cruz/Lippman) to adjourn at 8:30 PM.

**Roll Call Vote:** Ayes – Behm-Steinberg, Cruz, Lippman. Noes –None; Abstain – None; Absent – None.

### Attachments

- A. Draft Minutes of the 2/7/2024 Meeting

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 February 21, 2024  
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- B. Community Agency RFP applications and budgets
- C. Program and financial reports from Multicultural Institute
- D. Draft Council items regarding the reestablishment of hybrid commission meetings
- E. Reverse Mortgage Presentation
- F. City of Berkeley Fire Marshal's Report, FY 2024

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#### **Secretary:**

Mary-Claire Katz  
 Health, Housing & Community Services Department  
 510-981-5414  
[mkatz@berkeleyca.gov](mailto:mkatz@berkeleyca.gov)

#### **Mailing Address:**

Human Welfare and Community Action Commission  
 Mary-Claire Katz, Secretary  
 2180 Milvia Street, 2<sup>nd</sup> Floor  
 Berkeley, CA 94704



Health, Housing, and  
Community Services Department  
**Housing & Community Services Division**

## MEMORANDUM

**To:** Human Welfare and Community Action Commission

**From:** Margot Ernst, Manager

**Date:** January 23, 2024

**Subject:** **FY 2025 - 2028 Community Agency Funding Process**

This memo outlines the upcoming FY 2025-2028 Community Agency Funding cycle, including the application, review and commission recommendation steps of this process.

On behalf of the Health, Housing, and Community Services Department, I want to thank all Commissioners for stepping forward to give your time and thoughtful consideration to this task. Together, the four participating commissions/review panel will make recommendations to City Council about how to allocate over \$40 million in funding over the next four years. It is an important role and serves to benefit many members of the Berkeley community.

This funding process is a longstanding mechanism for investing local, state and federal funds in community agencies in order to provide core services and supports to the most vulnerable members of the community. These investments advance the City's work to achieve greater housing stability, improved health and education opportunities, and a more equitable Berkeley. The agencies that are awarded funding fill gaps and/or complement existing services to address some of the socio-economic challenges facing so many Berkeley residents.

The application review process is for a four-year funding cycle. The funding amounts below are estimated annual amounts, with each year of funding contingent upon the availability of funds, particularly from the federal government.

### **Background and Timeline**

Historically, the HWCAC has made recommendations to City Council regarding specific allocations of GF, Measure E and CSBG dollars, following a review of applications from agencies providing disability, health care, legal/mediation, senior and other public services. While Council has the option to designate a subcommittee to review and evaluate proposals and recommend funding for specific funding categories, in prior years, the full HWCAC has reviewed all the relevant applications.

The HWCAC members review applications on their own and then discuss and identify recommendations during the normal January and February HWCAC meetings. On November

*A Vibrant and Healthy Berkeley for All*

6, 2023, the City of Berkeley will issue a Request for Proposals (RFP) soliciting applications from non-profit community agencies.

**Table 1: Tentative Schedule for Allocation Process**

<b>TENTATIVE SCHEDULE FOR ALLOCATION PROCESS</b>			
<b>11/06/23</b>	<b>Request for Proposals issued</b>	<b>4/23/24</b>	<b>City Council holds public hearing on Annual Action Plan and proposed funding allocations to agencies CDBG/ESG Annual Action Plan</b>
<b>11/15/23</b>	<b>Workshop for all agencies submitting proposals 1-3 p.m.</b> <b>Zoom Meeting</b>	<b>5/7/24</b>	<b>City Council Presentation of Proposed FY 2025 &amp; FY 2026 Budget</b>
<b>12/22/23</b>	<b>Proposals Due - 5:00 p.m.</b>	<b>5/14/24</b>	<b>Deadline for City Council to adopt funding allocations for CDBG and ESG only and approve submittal of Annual Action Plan to HUD</b>
<b>1/25/24</b> <b>6pm</b>	<b>Public Hearing on community needs with participation by representatives of Review Commissions</b> <b>Location – South Berkeley Senior Center</b>	<b>5/14/24</b>	<b>City Council Public Hearing #1</b> <b>Presentation of City Manager's Proposed FY 2025 &amp; FY 2026 Budget</b>
<b>January and February 2023</b>	<b>Review Commissions discuss applications.</b>	<b>5/21/24</b>	<b>City Council Public Hearings #2</b> <b>FY 2025 &amp; FY 2026 Budget Proposals</b>
<b>3/15/24</b>	<b>Deadline for All Review Commissions to finalize recommendations</b>	<b>6/4/24</b>	<b>Council Discussion on Budget Recommendation</b>
<b>3/22/24</b>	<b>Draft Annual Action Plan available for 30-day public review period</b>	<b>6/25/24</b>	<b>City Council Budget Adoption, including General Fund allocation amounts</b>
<p><b>MEETING DATES/TIMES</b> – Commissions may have to hold additional meetings or revise the above schedule. Check the City's website <a href="https://berkeleyca.gov/your-government">https://berkeleyca.gov/your-government</a> for more details on Commission schedules and Council meeting dates/times.</p> <p><b>All dates are subject to change.</b></p>			



### FY 2025 Available Funding

Funding sources and annual funding availability are listed in Table 2.

**Table 2:** Community Agency RFP Annual Available Funds by Funding Source

Funding Source	Proposed FY25
Childcare Mitigation Fee (CCMIT)	\$13,275
General Fund *	\$5,433,464
Measure U1	\$250,000
Measure E	\$1,653,260
Community Development Block Grant (CDBG)**	\$2,166,000
Emergency Solutions Grant (ESG)	\$208,342
Community Services Block Grant (CSBG)	\$160,000
CA Homeless Housing, Assistance and Prevention Grant (HHAP)***	\$498,457
HOME Investment Partnerships American Rescue Plan Program (HOME-ARP)***	\$547,139
<b>TOTAL</b>	<b>\$10,929,937</b>

\* The GF includes the one-time use of Measure P for homeless services but excludes the Measure U1 housing retention funding

\*\*Program income for CDBG is not included in the baseline estimate. However, recommendations for program income allocations will be considered by HAC and adopted as part of the Annual Action Plan.

\*\*\* The HHAP and HOME-ARP is a one-time allocation, not an annual allocation.

### FY 2025 Available Funds by Funding Area and Commission

Each commission makes recommendations on a smaller portion of the available funding based on the funding area represented by their commission. Table 3 below shows the funding areas and amounts associated with each commission.

Funding for subsequent years under this RFP is projected to be the same as in FY 2025. Should the amount of funding available in any subsequent year(s) be significantly different from FY 2025, the HWCAC will be tasked with recommending revised funding allocations for that year.

**Table 3: Review Commission / Panel, Types of Services and Funds**

Commission / Review Panel	Types of Services Considered by Commission/Community Experts	FY25 Estimate
Housing Advisory Commission (HAC)	<ul style="list-style-type: none"> <li>- Fair Housing Services</li> <li>- Single Family Housing Rehabilitation</li> <li>- Workforce Development</li> <li>- Community Facility Improvement</li> <li>- COB Program Delivery</li> </ul>	\$2,135,719  CDBG, GF
Human Welfare and Community Action (HWCAC)	<ul style="list-style-type: none"> <li>- Disability Services (Measure E)</li> <li>- Health Care Services</li> <li>- Legal/Mediation Services</li> <li>- Senior Services</li> <li>- Other Services</li> </ul>	\$2,276,526  GF, CSBG, Measure E
Homeless Services Panel of Experts (HSPOE)	<b>Homeless Services</b> <ul style="list-style-type: none"> <li>- Alcohol and Other Drug (AOD) Treatment</li> <li>- Basic Needs (Drop-in Center, showers/laundry, lockers)</li> <li>- Benefits Advocacy</li> <li>- Coordinated Entry System (CES)/Housing Problem Solving/Street Outreach)</li> <li>- Emergency Shelter / Navigation Center (NC) (NC includes Rapid Rehousing and Housing Navigation Services)</li> <li>- Encampment Services</li> <li>- Housing Navigation Services</li> <li>- Homeless Prevention – Housing Retention Grants</li> <li>- Rapid Re-Housing / Flexible Subsidies (services and financial assistance)</li> <li>- Representative Payee Services</li> <li>- Street Outreach</li> <li>- Tenancy Sustaining Services</li> <li>- Transitional Housing</li> <li>- Workforce Development</li> </ul>	\$4,833,223  GF, CDBG, ESG, HOME-ARP, Measure U1, HHAP
Youth Equity Partnership (YEP) Youth Review Panel	<b>Youth Equity Partnership</b> <ul style="list-style-type: none"> <li>- Childcare and Kindergarten Ready</li> <li>- College and Career Ready</li> <li>- Successful in School</li> <li>- Healthy, Connected, and Resilient</li> <li>- Supported at School and at Home</li> </ul>	\$1,684,469  GF, CCMIT

**FY 2025-2028 Applications, Review Process & Recommendations**

The HWCAC will review the applications. Each Commission/Review Panel will decide the best means for conducting the reviews (e.g., identify a subcommittee, divide applications across

commissioners, etc.). In January, the commissions/review panels will host a joint public hearing to hear from the community on community needs and priorities.

Also in January, each identified commission member will receive instructions and a unique log-in to City Data Services (CDS) to view and score the applications based on the evaluation criteria.

The HWCAC will then review and develop funding recommendations based on information provided in agency proposals, performance evaluations, and any additional clarifying information submitted by agencies. If the review was tasked to a subcommittee, the full commission will still be responsible for preparing final recommendations to City Council.

The City Manager simultaneously prepares recommendations. If the City Manager's final recommendations are not aligned with the HWCAC, HHCS staff will provide information about the variance at the designated HWCAC meeting. It is possible that a special meeting would need to be scheduled.

All recommendations are finalized in March for the April 23, 2024 public hearing at City Council.

### **Final Steps**

The final step in the review and recommendation process is for the HWCAC and staff to submit final recommendations for Council consideration during the Annual Action Plan Public Hearing at the April 23, 2024 Council meeting (date subject to change).

Again, thank you for your participation in this task which serves a considerable support to the City of Berkeley and its residents.

#### *Attached:*

1. *Avoiding Conflicts of Interest Under Section 1090 in the Context of Funding Recommendations*

## City of Berkeley FY 2025-2026 Application Summary - HWCAC

Project Sponsor	Program Name	Type of Service	Current Award	Amount Requested
<b>Existing Programs</b>				
Bay Area Outreach & Recreation Prog	Recreational Services for Disabled	Disability Services	\$43,592.00	\$69,800.00
Berkeley Community Gardening Collab	Berkeley Community Gardening Collab	Other Services	\$11,895.00	\$153,052.00
Bonita House Inc.	Berkeley Wellness Center	Health Care Services - Ge	\$15,324.00	\$25,000.00
East Bay Community Law Center	Consumer Justice Clinic	Legal/Advocacy/Mediator	\$33,644.00	\$113,119.00
Easy Does It Emergency Services	Emergency Disability Services for Berk	Disability Services - Meas	\$1,653,260.00	\$2,114,400.00
Family Violence Law Center	Domestic Violence & Homeless Prever	Legal/Advocacy/Mediator	\$61,842.00	\$82,080.00
J-Sei	Senior Services	Senior Services	\$9,110.00	\$30,000.00
Lifelong Medical Care	Access to Primary Care for the Low-Inc	Health Care Services - Ge	\$189,855.00	\$167,933.00
Lifelong Medical Care	Primary Geriatric Care/Hypertension	Health Care Services - Ge	\$114,543.00	\$166,224.00
Through The Looking Glass	Berkeley Parenting & Disability Project	Disability Services	\$27,206.00	\$52,000.00
<b>New Programs</b>				
Associated Students of the University of	Berkeley Project	Other Services	\$0.00	\$32,000.00
Berkeley Food Network	Berkeley Food Network - Providing Foo	Other Services	\$0.00	\$150,000.00
Lifelong Medical Care	Access to Acupuncture Detox Services	Health Care Services Alc	\$0.00	\$73,625.00



JASON WIMBLEY  
ACTING DIRECTOR

State of California-Health and Human Services Agency  
**DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT**  
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Telephone: (916) 576-7109 | Fax: (916) 263-1406  
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GAVIN NEWSOM  
GOVERNOR

February 16, 2024

Via email to [mernst@cityofberkeley.info](mailto:mernst@cityofberkeley.info) and [marybehmsteinberg@gmail.com](mailto:marybehmsteinberg@gmail.com) and  
Overnight Mail to:

Margot Ernst, Manager of Housing and Community Services  
City of Berkeley  
Health, Housing, and Community Services Department  
Housing and Community Services Division  
2180 Milvia Street, 2nd Floor  
Berkeley, CA 94704

Mary Behm-Steinberg, Board Chair  
City of Berkeley  
Health, Housing, and Community Services Department  
Housing and Community Services Division  
1447 Kains Avenue  
Berkeley, CA 94702

**RE: 45-Day Notice of Anticipated High-Risk Designation Based on The City of Berkeley's Failure to Maintain Required CSBG Tripartite Board Structure and Failure to Administer Programs Through Tripartite Board; Required Response and Corrective Action Due by March 18, 2024.**

Dear Director Ernst:

This letter constitutes written notice that the California Department of Community Services and Development (CSD) intends to designate the City of Berkeley (Berkeley) as a "high risk" Community Services Block Grant (CSBG) agency within forty-five (45) days from the date of this letter, unless there is satisfactory compliance with the requirements specified herein.

The contemplated action is precipitated by the ongoing critical vacancies in Berkeley's CSBG Tripartite Board (Board). Pursuant to the Community Services Block Grant Act, public organizations must administer the CSBG program through a tripartite board or

other approved mechanism.<sup>1</sup> Without sufficient board members who are actively participating, Berkeley cannot administer the CSBG program as required by federal law.

Accordingly, CSD intends to designate the City of Berkeley as a high-risk agency pursuant to Section II of this letter, *Basis for High-Risk Designation*, unless the Required Response(s)/Corrective Action(s) in Section III of this letter, are addressed to CSD's satisfaction by **April 1, 2024**.

**I. Legal Authority**

**A. Federal Law Requires Establishing and Maintaining a Tripartite Board to Administer CSBG Program**

Pursuant to Title 42, US Code Section 9910 of the Community Services Block Grant Act, entities must administer CSBG through tripartite boards as follows:

*In order for a public organization to be considered to be an eligible entity. . . the entity shall administer the community services block grant program through –*

*(1) a tripartite board, which shall have members selected by the organization and shall be composed so as to assure that not fewer than 1/3 of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members—*

*(A) are representative of low-income individuals and families in the neighborhood served;*

*(B) reside in the neighborhood served; and*

*(C) are able to participate actively in the development, planning, implementation, and evaluation of programs funded under this subtitle [42 USCS §§ 9901 et seq.]; or*

*(2) another mechanism specified by the State to assure decisionmaking and participation by low-income individuals in the development, planning, implementation, and evaluation of programs funded under this subtitle [42 USCS §§ 9901 et seq.].<sup>2</sup>*

"The term 'eligible entity' means an entity. . . that has a tripartite board" or other approved mechanism.<sup>3</sup> As defined by the federal statute, an entity must not only maintain board membership with the specified composition, but the board members must actively participate in the development, planning, implementation, and evaluation of the CSBG program. An entity that does not satisfy each requirement is not considered an eligible entity for administering the CSBG program.

The U.S. Department of Health and Human Services issued CSBG Information Memorandum (IM) #82, *Tripartite Boards*, further clarifies the composition, role, and responsibilities of local community action agency tripartite boards. In accordance with

<sup>1</sup> 42 USC § 9902(1)(A); 42 USC § 9910(b); CSBG Information Memorandum #82.

<sup>2</sup> 42 USC § 9910(b).

<sup>3</sup> 42 USC § 9902(1)(A).

CSBG IM #82, the public organization's tripartite board must be comprised of the following sectors:

1. Representatives of Low-Income Individuals and Families: "[A] minimum of one-third of tripartite board membership be comprised of representatives of low income individuals and families who reside in areas served";
2. Elected Officials and their Representatives: "One-third must be elected officials, holding office at their time of selection, or their representatives."
3. Major Groups and Interests in the Community Served: "The remaining board members must be chosen from 'business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.'"<sup>4</sup>

Tripartite boards maintain responsibility for oversight and governance of community action agencies and must fully participate in the development, planning, implementation, and evaluation of CSBG-funded programs.<sup>5</sup>

#### **B. State Law Requires Entities to Maintain a Tripartite Board to Administer CSBG Program**

State law requires an eligible entity (or community action agency) to maintain a tripartite board. Where a local political subdivision or government is designated as a community action agency, it must establish a tripartite board that fully participates in the development, planning, implementation, and evaluation of the CSBG-funded programs. A community action agency shall fulfill all the requirements, including having a tripartite board structure (i.e., 1/3 of the members are elected officials or their representatives, at least 1/3 are democratically selected, and the remainder are members reflecting the interests of the community)<sup>6</sup> responsible for appointing the executive director and determining major personnel, fiscal, and program policies.<sup>7</sup> The community action agency must adopt procedures to provide a continuing and effective mechanism for securing broad community involvement in CSBG programs and ensuring board members can participate in program decisions.<sup>8</sup>

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<sup>4</sup> CSBG IM #82, Question 1 – *What does the law require?*

<sup>5</sup> See CSBG IM #82, Question 4. Oversight and governance duties consists of the following: i) program development (including conducting a needs assessment and clarifying the agency mission); ii) planning (including long-range strategic planning, and annual planning); iii) implementation (board members have "fiduciary" responsibility for the overall operation, and members must carry out their duties as any "reasonably prudent person" which includes at a minimum, regular attendance at board and committee meetings; thorough familiarity with core agency information including agency bylaws and CSBG statutes and regulations; careful review of materials provided; decision-making based on sufficient information; ensuring that proper fiscal systems and controls are in place; and maintain knowledge of all major actions taken by the agency); and iv) evaluation (determine agency success by comparing nature and level of outcomes with expectations developed during the agency's planning cycle); see CSBG IM #82, Question 5. The Tripartite Board is charged with the responsibility for directly supervising the agency's Executive Director, recruiting and retaining Executive Directors, and holding this employee responsible for the agency's activities.

<sup>6</sup> Gov. Code § 12750-12751.

<sup>7</sup> Gov. Code § 12752.

<sup>8</sup> Gov. Code § 12753(a).

### C. Remedies for Noncompliance

Berkeley is subject to federal and state statutes and regulations that govern funding status, contract administration, and agency designation, as well as applicable contract provisions regarding enforcement.<sup>9</sup>

Under Title 2 of the Code of Federal Regulations (CFR) Section 200.339, when a subgrantee fails to comply with federal statutes, regulations, or the terms and conditions of a federal award, the awarding agency may impose additional conditions, ranging from requiring additional monitoring, technical or management assistance, or additional prior approvals.<sup>10</sup> If the awarding agency determines noncompliance cannot be remedied by imposing additional conditions, it may take actions ranging from suspending or terminating the award, to initiating suspension or debarment.<sup>11</sup>

The Department is the awarding agency charged with ensuring that all federal requirements of the CSBG Act are met for its subgrantees.<sup>12</sup> These duties include establishing requirements that community action agencies select tripartite boards with democratically selected individuals, establishing standards for the termination or reduction of financial assistance to an eligible entity, or revocation of the designation of a community action agency for failure to comply with the laws and regulations applicable to the CSBG program.<sup>13</sup> To this end, CSBG contracts require subgrantees to administer funds through a tripartite board.<sup>14</sup> The Department's CSBG contracts set forth Remedies for noncompliance. Under Article 8.7 of the CSBG contract, CSD may impose high risk status on a contractor due to material breach<sup>15</sup> or a failure to fulfill contractual obligations and impose special conditions or sanctions. Where an agency materially fails to comply with the contract terms and conditions, CSD may suspend the contract(s) in whole or in part.<sup>16</sup>

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<sup>9</sup> See 42 USC §§ 9901 et seq.; 45 CFR Part 75; Cal. Gov. Code §§ 12085 et seq.; Cal. Gov. Code §§ 16366.1 et seq.; 22 CCR §§ 100601 et seq.; and 22 CCR §§ 100800 et seq.

<sup>10</sup> 2 CFR § 200.339; see 2 CFR § 200.208.

<sup>11</sup> 2 CFR § 200.339.

<sup>12</sup> Gov. Code § 12780.

<sup>13</sup> Gov. Code § 12781(c)(5), (d)(3).

<sup>14</sup> See Definitions and Article 5.1.3.2 for tripartite board requirement; see also Articles 4.1.1.1, Article 4.1.3.

<sup>15</sup> *Material Breach* means any act or omission by Contractor that is in contravention or disregard of Contractor's duties and obligations under the terms of this Agreement and under applicable State and federal law, which act or omission: (a) constitutes fraud or gross negligence by Contractor or its agent(s); (b) is likely to result in significant waste and/or abuse of federal funds; (c) has a significant adverse impact on Contractor's ability to meet its administrative, financial, or programmatic duties and obligations over the term of the contract or a significant portion thereof; (d) violates or otherwise disregards significant program guidance and other requirements of the Federal Government, whether issued directly or through CSD; (e) may have serious adverse effects and consequences on the Contractor's customers, employees, subcontractors, creditors, suppliers, vendors, or other stakeholders; or (f) may otherwise significantly and adversely affect the viability, effectiveness, or integrity of the program. Article 8.7.2.

<sup>16</sup> 22 Cal. Code Regs. § 100780.



## II. Basis for High-Risk Designation

### A. Background of Berkeley's CSBG-Funded Programs

Berkeley uses CSBG funding to help support several programs, including health care services via Lifelong Medical, which provides screening services to the unhoused and low-income communities, and emergency disabled services via Easy Does It (EDI), which provides wheelchair adjustments, transportation services, and assigns an emergency attendant to Berkeley residents who are severely physically disabled. Currently, Berkeley has multiple open CSBG contracts with CSD. (Attachments 2 and 3). As a condition of funding and designation as a CSBG agency, Berkeley is required to meet all applicable federal and state requirements, including maintaining a tripartite board.

Berkeley has been out of compliance with the statutory tripartite board requirement since 2012. Most concerning is since 2012 to present day, the agency has never successfully seated its required full complement of Low-Income board representatives, thus limiting the voice and input of the City's most vulnerable population. In addition, Berkeley has consistently struggled with board member retention, reflected by board member departures every year, as presented in Attachment 8. These constant departures range from a low of at least 13% (in 2016) to a high of 93% (in 2023) of the board members leaving the board each year, which diminishes the board effectiveness and may indicate a lack of opportunity for the members to receive sufficient training, fully engage in the planning, evaluation, and advisory roles assigned to the tripartite board. Berkeley already received multiple opportunities for training, including: an annual monitoring webinar hosted by the CSD Field Operations Unit, one-on-one technical assistance by the CSD Field Representative, and one-on-one assistance from the California Community Action Partnership Association (CalCAPA) to assist with board recruitment. This problem has not been resolved, despite training opportunities provided by multiple parties.

### B. Agency Admission and Ongoing Inability to Maintain a Tripartite Board

Berkeley submitted a formal request to CalCAPA on May 27, 2022, for Training and Technical Assistance (T&TA) for aid in fulfilling all contractual requirements from CSD due to the number of vacancies in all sectors of the board, and the inability to determine which vacancy is assigned to what sector. (Attachment 4). CalCAPA provided T&TA as requested, including assisting Berkeley with recruitment strategies to fill vacancies in the Low Income sector. CSD issued a Notice of Delinquency to Berkeley on March 31, 2023, due to the lack of progress in filling crucial board vacancies despite technical assistance provided by CalCAPA and numerous required corrective actions dating back to 2012.<sup>17</sup> (Attachment 5). In response to CSD's Notice, Berkeley submitted a remediation plan on June 19, 2023, including proposed solutions and goals to fill board vacancies in all three sectors. (Attachment 6). Since submitting the remediation plan,

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<sup>17</sup> Berkeley's current bylaws call for a Tripartite Board of 15 members.

Berkeley has not only failed to fill its vacancies, but the agency lost all board members, except one, as identified in the most recently submitted Board Roster (CSD 188) received on November 1, 2023, with Berkeley's quarterly vacancy report which also confirmed Berkeley made no progress in filling the 14 board vacancies. (Attachment 7).

**C. CSD Determination of Berkeley's Noncompliance with Federal and State Requirements for Governing Board – Tripartite Structure and Active Participation/Administration**

As the awarding agency, CSD has determined that Berkeley, the subrecipient, is noncompliant with federal and state requirements for maintaining a functioning and governing Tripartite Board. Notably, the May 27, 2022, request for CalCAPA technical assistance reflects Berkeley's failure to understand federal and state requirements regarding the composition of its board. Without board members in position comprised of different sectors of the population, no tripartite board exists to perform the oversight and governance duties and assure effective planning, implementation and evaluation of Berkeley's CSBG program, as intended by CSBG laws and regulations and Berkeley's own bylaws. An ongoing inability to recruit and retain board members constitutes noncompliance with federal law and disqualifies Berkeley as an eligible entity for the receipt and administration of the CSBG grant.<sup>18</sup> Berkeley's noncompliance is documented in Monitoring Report #C-22-002, constitutes a breach of the requirements in the 2022 and 2023 CSBG annual contracts, a violation of the CSBG Act<sup>19</sup>, California Government Code § 12752.1, and Organizational Standard 5.5. (See Attachments 1, 2, & 3 for report C-22-002, 2022 Contract Narrative, and open 2023 Berkeley CSBG contracts).

Accordingly, Berkeley has failed to meet the federal and state requirements necessary to retain designation and receive CSBG funding. Based on this failure, CSD will seek to designate Berkeley as a high risk agency on **April 1, 2024**, unless Berkeley complies with the requirements set forth in this letter.

**III. Special Conditions**

To avoid a high-risk designation from CSD, Berkeley must comply with the following special contract conditions:

- **Required Response/Corrective Action 1:** Submit a written response of progress achieved regarding the "Action Steps" identified in Berkeley's response to delinquency submitted on June 19, 2023.
- **Required Response/Corrective Action 2:** Submit requests for T&TA support such as training specifically designed to help Public CAAs to properly seat the appropriate sectors of a tripartite board. CSD will make every effort to prioritize your T&TA requests.

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<sup>18</sup> 42 USC § 9910(b), 9902(1)(A).

<sup>19</sup> 42 USC § 9901 et seq.

- **Required Response/Corrective Action 3:** Provide substantiation that each newly seated board member completes required board training within six months of being seated to understand their role and fiduciary duty as a member of the tripartite board. Identify future or ongoing training(s), if any, scheduled for each new board member.
- **Required Response/Corrective Action 4:** Submit a detailed written workplan describing outreach efforts to remediate the lack of representation in the Low-Income sector and plans to recruit members in the Elected Officials (Public) and Major Community Groups (Private) sectors. This plan should describe:
  - a. Outreach efforts to identify and recruit from the low-income community.
  - b. The number of community members contacted to fill Private and Public seats.
  - c. The affirmative steps Berkeley is taking to maintain a fully functioning Tripartite board (e.g., retention strategies).
  - d. How Berkeley intends to complete the following actions, which can only be fulfilled by a Tripartite Board:
    - i. Review of the agency's mission statement;
    - ii. Participation in strategic planning and the community needs assessment;
    - iii. Receipt of strategic, organizational, and programmatic updates;
    - iv. Receipt of financial and audit reports; and
    - v. Participation in the CSBG budget process, as allowed by local government procedures.

If Berkeley wants to request an extension to respond to any of the Required Response/Corrective Action(s), please contact CSD in writing and identify: 1) the specific Required Response(s)/Corrective Action(s); 2) the reason for the extension; and 3) the amount of additional time needed, by **February 26, 2024**.

Alternatively, Berkeley may provide evidence disputing the bases in Section II and/or propose an alternative corrective action plan by notifying CSD of its intention to do so within ten days of the date of this letter or by **February 26, 2024**, and submitting the aforementioned evidence or alternative corrective action plan by **March 18, 2024**.

**Absent an extension granted by CSD, all responses to the Required Responses/Corrective Action Items must be submitted via email to your CSBG field representative, Jennifer (jennifer.milovina@csd.ca.gov) no later than March 18, 2024.**

#### **IV. Next Steps**

If Berkeley accepts the special conditions specified in this letter or proposes amendments or alterations to them, it shall advise CSD in writing within ten days from issuance of this letter, or by **February 26, 2024**, and submit evidence of completion of the Special Conditions by **March 18, 2024**.

CSD will reevaluate Berkeley's status within 45 days of this letter. If CSD determines Berkeley made significant progress to recruit new board members, implemented a plan to retain the board members, and improved its strategy to fill future board vacancies, CSD will reconsider the issuance of the high-risk designation. However, if Berkeley fails to show progress in these areas, fails to meet the obligations contained herein, submits an insufficient response, or fails to respond, a notice of high-risk designation will be issued on **April 1, 2024**. Further, if Berkeley cannot comply with its contractual obligations, stabilize its tripartite board membership, and implement corrective actions while on high-risk status, CSD may suspend or terminate the contracts listed in Attachment 3 of this letter, *Berkeley Open Service Contracts with CSD*, or pursue other available legal remedies.<sup>20</sup>

Should you need any further information about this matter, please contact CSD Deputy Director of Programs, Daphne Hunt, at (916) 291-8194 or [Daphne.Hunt@csd.ca.gov](mailto:Daphne.Hunt@csd.ca.gov).

Sincerely,

*Jason Wimbley*

JASON WIMBLEY  
Acting Director  
Department of Community Services and Development

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<sup>20</sup> If CSD seeks to suspend, pursuant to 22 CCR § 100780, Berkeley will have the right to submit written material or participate in an informal meeting to show good cause as to why the contracts should not be suspended. If CSD determines termination of funding is proper, Berkeley may request a hearing in accordance with 45 CFR § 96.92.



Department of Community Services and Development  
Community Services Division  
Monitoring Report (rev. 2/2022)

**Agency Information**

Agency Name: Berkeley Community Action Agency  
 Agency Type: Community Action Agency-Public  
 Report #: C-22-002  
 CSD/Field Representative: Jennifer Milovina  
 Date Report Completed: May 26, 2022  
 Contracts Reviewed:

Contract #	Program Term	Amount	Contract Type
20F-3640	3/27/20- 5/31/22	\$373,097.00	CSBG CARES
20F-3640	10/1/20- 5/31/22	\$40,370.00	CSBG CARES Disc
21F-4001	1/1/21- 5/31/22	\$275,106.00	Annual CSBG
21F-4403	6/1/21- 5/31/22	\$28,250.00	CSBG Discretionary
22F-5001	1/1/22- 12/31/22	\$274,202.00	Annual CSBG

**Entrance Conference**

**Purpose of Visit**  
 The purpose of this review was to monitor statutory and contractual requirements under the Community Services Block Grant (CSBG) for financial accountability and programmatic compliance in accordance with Federal and State laws and the Department of Community Services Development (CSD) policy. Due to the pandemic and COVID-19 restrictions, the 2022 monitoring reviews were conducted virtually in accordance with CSD emergency monitoring procedures.

**Date of Virtual Entrance Conference**  
 May 5, 2022

**The following persons were present during the Entrance Conference:**  
 Margot Ernst, Executive Director  
 Mary-Claire Katz, Program Analyst  
 Joshua Oehler, Program Manager  
 Wingyin Wong, Fiscal Analyst  
 Jeffrey Glover, Fiscal Manager  
 Jennifer Milovina, Field Representative  
 Caleb Gendron, Field Representative,  
 Patrick Kane, Field Representative  
 Shiella Marie Rivera Flores, Field Representative

The following items were discussed:

- Virtual Monitoring Overview
- Expenditure Updates
- CSD Updates
- Upcoming Organizational Standards
- CSBG CARES Expenditure
- Board Composition

### **Administrative Review**

#### Board Composition

According to the agency's bylaws, dated July 21, 2010, the Tripartite Board should be composed of 15 members as follows: five (5) from the public sector, four (4) from the private sector, and six (6) from the low-income sector. The CSD 188 board roster dated January 14, 2022 indicates the board is currently comprised of seven (7) board members; five (5) from the public sector, zero (0) from the private sector, and two (2) from the low-income sector and contains eight (8) board vacancies as follows:

Sector	Date of Vacancy
Low Income	11/2018
*Low Income	12/2020
*Low Income	10/2021
*Low Income	10/2021
Public	4/2017
*Public	8/2021
*Public	10/2021
*Public	12/2021

Desk Review C-21-002 assigned a Finding for long-term board vacancies in the Public Sector since 4/1/2017 and the Low-Income Sector since 11/1/2018 but were assigned an "Other" for board vacancies occurring within the pandemic period. Please see chart (above) for reference.

Given the vacancies from 11/2018 and 4/2017 remain, the corrective action requirements for long-term board vacancies occurring prior to the pandemic, including resolution criteria will be transferred and tracked under this report, C-22-002. The agency has submitted vacancy updates to CSD as required by Desk Review C-21-002.

A board consisting of 15 members must have exactly five (5) Public sector members and at least five (5) members from the Low-Income sector. At the time of this review, the agency had an incorrect amount of Public and Private sector seats which is not compliant with 42 U.S.C. § 9910. Please reference CPN-C-21-01 and the flexibilities it allows regarding board composition.

*\*Due to the impact of COVID-19, CSD acknowledges the increased difficulty experienced by agencies attempting to recruit board /council members during the pandemic. Board vacancies occurring during the period from March 2020 through December 2022, will be documented in this report but no new corrective action designation (Observation or Finding) will be assigned. Agencies will be required to submit updates as detailed in the corrective action section below. Starting with the 2023 monitoring session, CSD will return to the regular board/council vacancy monitoring practices. To the extent possible, CSD encourages agencies to engage in recruitment activities to fill vacancies during this period.*

Board Minutes

Berkeley Community Action Agency submits approved board minutes to (CSD) no later than thirty days after the minutes are approved as required in the annual contract agreement (2022 CSBG Contract Agreement Article 4.1.4).

A review of the board minutes from November 17, 2021, January 19, 2022, and February 16, 2022 indicates that a quorum was met for each meeting. The information contained within the board minutes provided the Field Representative with sufficient information to determine the board’s involvement in the development, planning, implementation, and evaluation of the program.

**Fiscal Review**

Advance Payment

The Field Representative was presented documentation that demonstrates the agency does retain the advance payment in an interest-bearing account. (45CFR 75.305 (b)(8))

Expenditure Reporting

A review of the Expenditure Activity Reporting System (EARS) monthly reports indicated the expenditure reports have not been submitted in a timely manner.

Expenditure activity reports were submitted after the due date for the following contract(s):

Contract #	Expenditure Report Period	Due Date	Certify date	No of days late
22F-5001	2/1/22-2/28/22	3/25/22	4/1/22	7
22F-5001	3/1/22-3/31/22	4/25/22	5/5/22	10

Please note: CPN-C-22-01 published March 7, 2022, requires all expenditure activity reports be submitted on or before the 25th calendar day following the reporting period. (CPN-C-22-01, 1.0 CSBG Reimbursement Policies and Procedures, 1.1 Financial Reporting - EARS Invoice Due Date).

Expenditure Progress	During the review, the Field Representative met with Berkeley Representative, Jeffery Glover, (Fiscal Manager), to discuss the status of all open contracts as follows:
CSBG Contract 21F-4001	A review of EARS reports from January 2021 through December 2021 indicates 100% or \$275,106.00 of \$275,106.00 has been expended.
CSBG Disc Contract 21F-4403	A review of EARS reports from June 2021 through March 2022 indicates 0% or \$0 of \$28,250.00 has been expended. The agency it is not on track to fully expend the contract funds by the end of the contract term. Contract term ends 5/31/2022. Berkeley has not been receiving expenditure submissions from their Discretionary subcontractor. According to Berkeley's Program Analyst, the individual responsible for errors in the reporting of expenditures is no longer an employee with WeHOPE and a new fiscal representative has taken over. Berkeley explained that the new WeHOPE employee has reconciled the missing expenses and they are confident they will fully expend their full contract allocation by May 31, 2022.
CSBG CARES Contract 20F-3640	A review of EARS reports from March 2020 through March 2022 indicates 58.13% or \$216,894.13 of \$373,097.00 has been expended. According to the agency it is on track to fully expend the contract funds by the end of the contract term. Agency has requested an extension through 8/31/2022 and is submitting expenditures according to the spending plan submitted to CSD on 5/5/2022.
CSBG CARES Disc Contract 20F-3646	A review of EARS reports from October 2020 through March 2022 indicates 0% or \$0 of \$40,370.00 has been expended. According to Berkeley's Fiscal Manager, it is not on track to fully expend the contract funds by the end of the contract term. Agency has requested an extension through 8/31/2022 and is submitting expenditures according to the spending plan submitted to CSD on 5/5/2022.
CSBG Contract 22F-5001	A review of EARS reports from January 2022 through March 2022 indicates 6.25% or \$17,132.94 of \$274,202.00 has been expended. According to the agency it is on track to fully expend the contract funds by the end of the contract term. According to the most recent 3 year spending trend report released in April; Berkeley's spending level is within the 15% threshold of their historical spending practices.
Line-Item Expenditure Review	<i>Note: Due to the COVID-19 pandemic and the Program flexibilities afforded by Informational Memorandum IM #154, CSD implemented a modified approach and reduced to the number of expenditure transaction that would normally be reviewed.</i>



The Field Representative sampled three (3) expenditure transactions from costs reported in EARS:

Contract Number	Report Period	Section (Program/Admin)	Line Item	Amount
21F-4001	10/1/21-10/31/21	Program	Subcontractor/Consultant Services	\$5698.76
20F-3640	11/1/21-11/30/21	Program	Subcontractor/Consultant Services	\$412.44
20F-3640	10/1/21-10/31/21	Program	Subcontractor/Consultant Services	\$4,110.00

The Field Representative reviewed the general ledger, subcontractor invoices, agency invoices, check copies and bank statements and verified the documentation supported the transactions sampled from expenditures reported in (EARS).

Equipment Validation Review

Not Applicable

### **Programmatic Review**

Program Reports

A review of the most recent CSBG Annual Report Modules 2 – 4 indicate the reports have been submitted timely by the agency in accordance with the annual CSBG Contract Agreement Article 7.3.4.

Program Performance

A review of the agency's most recent CSBG Annual Report Modules 2 – 4 shows that the agency achieved the following results:

Family Domains (Module 4)	Indicator	Target	Actual
Health and Social/Behavior Development	FNPI 5b. The number of individuals who demonstrated improved physical health and well-being.	1200	476
Health and Social/Behavior Development	FNPI 5g. The number of individuals with disabilities who maintained an independent living situation.	50	258

Performance Target Accuracy

Agency Explanation FNPI 5b: Agency achieved less than 80% of their projected target. The agency explained that this measures LifeLong patients with a diagnosis of hypertension who have demonstrated improved health by having a blood pressure reading equal or less than 140/90, representing a normal blood pressure. With the onset of COVID-19, collecting and recording blood pressure had been a challenge, hence the smaller reported numbers. Currently, LifeLong is using a hybrid model of in-person and virtual telehealth appointments to patients. Due to the high risk for COVID-19 among older adults, LifeLong continues to monitor patients closely and only requires in-person appointments if absolutely necessary.

Agency Explanation FNPI 5g: Agency achieved higher than 120% of their projected target. The need for this service increased greatly due to the larger number of seniors and disabled individuals requiring assistance during the pandemic.

Organizational Standards Review  The agency certified their 2021 Organizational Standards Assessment score is 96%. They have a TAP in Vision and Direction - Category 4: Organizational Leadership. The agency is actively recruiting to fill the vacant seats on their board.

Agency was reminded CSD has ended the administrative relief related to agency Organizational Standards compliance which had been in effect for 2020 and 2021. As a result, all agencies are required to submit updated Organizational Standards documentation in eGov by August 31, 2022. To ensure agency staff is in the strongest position to effectively complete the Organizational Standards process, CSD recommends relevant agency staff attend the upcoming Organizational Standards training hosted by CalCAPA.

Subcontractor Review The Field Representative in accordance with the 2022 CSBG Contract, (Article 4, section 4.21.2) assessed the contractor requirements, which include verification of the Excluded Parties List System (EPLS), submission of the CSD 163 form, Monitoring Policy, Monitoring Reports/Reviews, and a Procurement Policy. The assessment determined that the agency is in compliance.

Child Support The Field Representative determined the agency does not have a written referral policy in place to the local Department of Child Support Services. (Title 42 of the U.S.C. Section 9919 (b)).

Site Visits *Due to COVID-19 CSD did not conduct an agency site visit.*

Client File Review *Note: Due to the COVID 19 pandemic and the Program flexibilities afforded by Informational Memorandum IM #154, CSD implemented a modified approach and reduced the number of client files that would normally be reviewed.*

The Field Representative conducted a client file review of two (2) clients who received services as reported in the National Performance Indicators. The review was a sampling of the clients served for Indicators: FNPI 5b. The number of individuals who demonstrated improved physical health and well-being, and FNPI 5g. The number of individuals with disabilities who maintained an independent living situation. The client files contained documentation which verified the outcomes reported in the 2021 Annual Report were met. The client files contained applicable documentation to demonstrate the clients met the income eligibility requirements for services.

#### Safeguard of client files

Due to COVID-19 CSD did not conduct an agency site visit. CSD accepts the 2021 results for Organization Standard 8.13, "The Organization has a written policy in place for record retention and destruction" as sufficient verification for this item.

Organization Standard 8.13 was "met" for this review period.

### CSBG CARES Activities

Two (2) line items were sampled from CARES expenditure submissions to complete this review to satisfy the Quarterly Reconciliation for Quarter 1 of 2022. The expenditures sampled are from Quarter 4 of 2021 since no recent expenditures had been submitted at the time of the initial request. No Issues were discovered during the review of the following expenditures:

#### CSBG CARES Quarterly Fiscal Reviews

Contract Number	Report Period	Section (Program/ Admin)	Line Item	Amount
20F-3640	11/1/21-11/30/21	Program	Subcontractor/ Consultant Services	\$412.44
20F-3640	10/1/21-10/31/21	Program	Subcontractor/ Consultant Services	\$4,110.00

#### CSBG CARES Client File Review

Family Domains (Module 4)	Indicator	Target	Actual
FNPI 5. Health and Social/Behavioral Development	SRV 500. Hygiene Facility Utilizations (e.g. showers, toilets, sinks)		121

The Field Representative conducted a client file review of 1 client who received services as reported in the National Performance Indicators. The review was a sampling of the clients served for Service Indicator SRV 500. Hygiene Facility Utilizations (e.g., showers, toilets, sinks). The client file contained applicable documentation to demonstrate the clients met the

income eligibility requirements for services. The client files contained documentation verifying the services were provided.

### **Exit Conference**

Date of Exit Conference (Phone Call) May 10, 2022

The following persons were present during the Exit Conference: Mary-Claire Katz, Program Analyst  
Jennifer Milovina, Field Representative

The following items were discussed:

- Highlights of Review
- Monitoring Timeline
- Board Composition
- Subcontractor Monitoring Reports

Finding(s)

#### **Finding(s):**

##### **Finding (1): Board Composition**

The CSD 188 board roster dated January 14, 2022 indicates the board is currently comprised of seven (7) board members; five (5) from the public sector, zero (0) from the private sector, and two (2) from the low-income sector and contains eight (8) board vacancies.

A board consisting of 15 members must have exactly five (5) Public sector members and at least five (5) members from the Low-Income sector. At the time of this review, the agency had an incorrect amount of Public and Private sector seats which is not compliant with 42 U.S.C. § 9910.

##### **Corrective Action (1):**

To ensure the board configuration aligns with agency by-laws and state regulations, The City of Berkeley must provide a report to CSD describing their efforts to correctly configure board membership. The City of Berkeley will complete a new CSD 188 Board Roster with the correct division of members for the Private and Public Sectors.

##### **Response/Resolution Due Date (1):**

An updated board roster (CSD 188) and a report of the efforts being taken by Berkeley to correctly configure the Board are due according to the schedule below. (This schedule follows the current timeframe for vacancy reports)

- June 30, 2022- first report due
- December 30, 2022- resolution date

##### **Finding (2): Long Term Board Vacancies:**

The City of Berkeley has two long-term board vacancies. One in the Public Sector since 4/1/2017 and one in the Low-Income Sector since 11/1/2018.

##### **Corrective Action (2):**

For long-term board vacancies (vacant seat(s) for more than 12 months prior to March 27, 2020), Agencies will retain their assigned corrective action designation. The corrective action requirements for long-term board vacancies occurring prior to the pandemic, including resolution criteria will be transferred and tracked under this report, C-22-002.

**Response/Resolution Due Date (2):**

Berkeley will continue to submit updates to CSD for all board vacancies according to the schedule below if the vacancies persist:

- June 30, 2022
- December 30, 2022

Observation(s)

**Observation(s):**

The City of Berkeley does not have a child support referral policy. A written child support referral policy helps educate CAA staff on their responsibilities to provide the child support referrals and helps establish the CAA's compliance with the referral requirement identified in Title 42 of the U.S.C. Section 9919(b)

Berkeley submitted a draft for what they hope to adopt as their Child Support Referral policy during their next scheduled Board meeting taking place on May 18, 2022.

**Corrective Action:**

The agency will complete and submit a draft of their policy regarding child support referrals. To help facilitate this corrective action the Field Representative submitted examples of other CAA's Child Support Referral Policies as well as sharing the CAPLAW Q&A on Child Support Referrals released in 2014.

**Response/Resolution Due Date:**

The agency will submit the approved written policy to CSD no later than:

- June 30, 2022

Recommendation(s)

Not Applicable

Other: Board Vacancies:

The board roster dated January 14, 2022, indicates there are currently 8 board vacancies. Due to the impact of COVID-19, CSD acknowledges the increased difficulty experienced by agencies attempting to recruit board /council members during the pandemic, Board vacancies occurring during the period from March 2020 through December 2022, will be documented in this report but no new corrective action designation (Observation or Finding) will be assigned.

**Response/Resolution Due Date:**

The City of Berkeley will continue to provide updates detailing the recruitment efforts to fill Board vacancies. To ensure the importance of this activity, Berkeley’s board minutes should reflect board activities to fill the vacant board seats. The next updates are due to CSD by the following dates:

- June 30, 2022
- December 31, 2022

Please note: new board members are required to complete orientation within six months of being seated per Organizational Standard Category 5 (Vision and Direction) Standard 5.7

Technical Training Assistance(s)	On May 26, 2022, the Field Representative sent a formal referral (CSD 332) to CalCAPA on behalf of Berkeley to obtain T/TA assistance regarding board vacancy recruitment to assist in filling their 8 identified board vacancies.
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*CSD may request additional information related to meeting/resolving Findings addressed in this report.  
Unresolved Findings may result in additional monitoring or a High Risk designation.*

# ATTACHMENT 2

STATE OF CALIFORNIA  
**AGREEMENT SUMMARY**  
 STD. 215 (Rev. 08/2017)

AGREEMENT NUMBER <b>22F-5001</b>	AMENDMENT NUMBER <b>0</b>
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CHECK HERE IF ADDITIONAL PAGES ARE ATTACHED

1. CONTRACTOR'S NAME Berkeley Community Action Agency		2. FEDERAL I.D. NUMBER 94-6000299	
3. AGENCY TRANSMITTING AGREEMENT Department of Community Services and Development	4. DIVISION, BUREAU, OR OTHER UNIT Contract Services Unit	5. AGENCY BILLING CODE 031150	
6a. CONTRACT ANALYST NAME Shirley Prasad	6b. EMAIL Shirley.Prasad@csd.ca.gov	6c. PHONE NUMBER 916-576-4354	
7. HAS YOUR AGENCY CONTRACTED FOR THESE SERVICES BEFORE? <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES (If yes, enter prior contractor name and Agreement Number)                      Community Services Block Grant (CSBG) under a DGS Master Exemption			

8. BRIEF DESCRIPTION OF SERVICES - LIMIT 72 CHARACTERS INCLUDING PUNCTUATION AND SPACES  
 Provide CSBG services to low-income population of California

9. AGREEMENT OUTLINE (Include reason for Agreement: Identify specific problem, administrative requirement, program need, or other circumstances making the Agreement necessary; include special or unusual terms and conditions.)  
 Contractor agrees to continue to provide services and activities to eligible participants residing in Contractor's assigned service area, pursuant to California Government Code Section 12725 et seq., and 42 United States Code (USC) 9901 et., as amended, the Community Services Block Grant Act.

10. PAYMENT TERMS (More than one may apply.)

<input type="checkbox"/> MONTHLY FLAT RATE	<input type="checkbox"/> QUARTERLY	<input type="checkbox"/> ONE-TIME PAYMENT	<input type="checkbox"/> PROGRESS PAYMENT
<input type="checkbox"/> ITEMIZED INVOICE	<input type="checkbox"/> WITHHOLD _____ %	<input type="checkbox"/> ADVANCE PAYMENT NOT TO EXCEED \$ _____ or _____ %	
<input type="checkbox"/> REIMBURSEMENT/REVENUE	<input checked="" type="checkbox"/> OTHER (Explain) <u>Reimbursement based upon expenditure and activity reports</u>		

11. PROJECTED EXPENDITURES

FUND TITLE	ITEM	F.Y.	CHAPTER	STATUTE	PROJECTED EXPENDITURES
F.T.F.	4700-101-0890-4185	21/22	21	2021	\$ 274,202.00
					<b>AGREEMENT TOTAL</b> \$ 274,202.00
OBJECT CODE      GRANTS/SUBVENTIONS					AMOUNT ENCUMBERED BY THIS DOCUMENT
OPTIONAL USE      40122					\$ 274,202.00
I CERTIFY upon my own personal knowledge that the budgeted funds for the current budget year are available for the period and purpose of the expenditure stated above.					PRIOR AMOUNT ENCUMBERED FOR THIS AGREEMENT
					\$ 0.00
					TOTAL AMOUNT ENCUMBERED TO DATE
					\$ 274,202.00

ACCOUNTING OFFICER'S SIGNATURE	DocuSigned by: <i>Lois Hullum</i> 00027AA13665476	ACCOUNTING OFFICER'S NAME (Print or Type) Lois Hullum	DATE SIGNED 11/9/2021
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STATE OF CALIFORNIA  
AGREEMENT SUMMARY

AGREEMENT NUMBER 22F-5001	AMENDMENT NUMBER 0
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STD. 215 (Rev. 08/2017)

12. AGREEMENT

AGREEMENT	TERM FROM	TERM THROUGH	TOTAL COST OF THIS TRANSACTION	BID, SOLE SOURCE, EXEMPT
Original	01/01/2022	05/31/2023	\$ 274,202.00	Contracts SCM 5.80.B.2.b
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
TOTAL			\$ 274,202.00	

13. BIDDING METHOD USED:

- REQUEST FOR PROPOSAL (RFP) (Attach justification if secondary method is used)
  Use of Master Service Agreement  
 Invitation for Bid (IFB)
  Exempt from Bidding (Give authority for exempt status)
  Sole Source Contract (Attach STD. 821)  
 OTHER (Explain) Contracts SCM 5.80.B.2.b

NOTE: Proof of advertisement in the State Contracts Register or an approved form STD. 821, Contract Advertising Exemption Request, must be attached

14. SUMMARY OF BIDS (List of bidders, bid amount, and small business status) (If an amendment, sole source, or exempt, leave blank)  
N/A - Subvention contract

15. IF AWARD OF AGREEMENT IS TO OTHER THAN THE LOW BIDDER, PLEASE EXPLAIN REASON(S) (If an amendment, sole source, or exempt, leave blank)  
N/A - Subvention contract

16. WHAT IS THE BASIS FOR DETERMINING THAT THE PRICE OR RATE IS REASONABLE?  
N/A - Subvention contract

17a. JUSTIFICATION FOR CONTRACTING OUT (Check one)  
 Contracting out is based on cost savings per Government Code 19130(a). The State Personnel Board has been so notified.  
 Not Applicable (Interagency / Public Works / Other \_\_\_\_\_)  
 Contracting out is justified based on Government Code 19130(b). When this box is checked, a completed JUSTIFICATION - CALIFORNIA CODE OF REGULATIONS, TITLE 2, SECTION 547.60 must be attached to this document.

17b. EMPLOYEE BARGAINING UNIT NOTIFICATION  
 By checking this box, I hereby certify compliance with Government Code section 19132(b)(1).

AUTHORIZED SIGNATURE Shirley Prasad SIGNER'S NAME (Print or Type) Shirley Prasad DATE SIGNED 11/12/2021

18. FOR AGREEMENTS IN EXCESS OF \$5,000, Has the letting of the agreement been reported to the Department of Fair Employment and Housing? <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A	22. REQUIRED RESOLUTIONS ARE ATTACHED <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> N/A
19. Have Conflict Of Interest Issues Been Identified And Resolved As Required By The State Contract Manual Section 7.10? <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A	23. IS THIS A SMALL BUSINESS AND/OR A DISABLED VETERAN BUSINESS CERTIFIED BY DGS? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes SB/DVBF Certification Number: _____
20. FOR CONSULTING AGREEMENTS: Did you review any contractor evaluations on file with the DGS Legal Office? <input type="checkbox"/> None on file <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A	
21. IS A SIGNED COPY OF THE FOLLOWING ON FILE AT YOUR AGENCY FOR THIS CONTRACTOR? A. Contractor Certification Clauses <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> N/A B. STD. 204, Vendor Data Record <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> N/A	

24. ARE DISABLED VETERANS BUSINESS ENTERPRISE GOALS REQUIRED? (If an amendment, explain changes if any)  No (Explain below)  Yes \_\_\_% of Agreement  
*Explain: DVBF goals are not required and do not apply to this Agreement. Federal and state laws dictate the entities eligible for these subvention grants.*

25. Is This Agreement (With Amendments) For A Period Of Time Longer Than Three Years?  No  Yes (If Yes, provide justification below)

I certify that all copies of the referenced document will conform to the original agreement sent to the Department of General Services.  
SIGNATURE Shirley Prasad NAME/TITLE (Print or Type) Shirley Prasad DATE SIGNED 11/12/2021



STATE OF CALIFORNIA

## AGREEMENT SUMMARY

STD. 215 (Rev. 08/2017)

AGREEMENT NUMBER

22F-5001

AMENDMENT NUMBER

0


## JUSTIFICATION - CALIFORNIA CODE OF REGULATIONS, TITLE 2, SECTION 547.60

In the space provided below, the undersigned authorized state representative documents, with specificity and detailed factual information, the reasons why the contract satisfies one or more of the conditions set forth in Government Code section 19130(b). Please specify the applicable subsection. Attach extra pages if necessary.

Government Code 19130 (b) (3)

The services being performed under this contract do not cause any displacement of State workers. Federal and/or State law for this program specify the entities that are eligible for these funds.

*The undersigned represents that, based upon his or her personal knowledge, information or belief the above justification correctly reflects the reasons why the contract satisfies Government Code section 19130(b).*

SIGNATURE 		NAME/TITLE (Type or Print) Shirley Prasad / Contract Analyst		DATE SIGNED 11/12/2021
PHONE NUMBER 916-576-4354		STREET ADDRESS 2389 Gateway Oaks Drive, Suite 100		
EMAIL Shirley.Prasad@csd.ca.gov		CITY Sacramento	STATE CA	ZIP 95833

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

<b>STANDARD AGREEMENT</b> STD. 213 (Rev 03/2019) CSD (Rev 07/2019)	AGREEMENT NUMBER <b>22F-5001</b>	PURCHASING AUTHORITY NUMBER (if applicable)
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- This Agreement is entered into between the Contracting Agency and the Contractor named below  
 CONTRACTING AGENCY NAME  
**Department of Community Services and Development**  
 CONTRACTOR NAME  
**Berkeley Community Action Agency**
- The term of this Agreement is: **January 1, 2022 through May 31, 2023**
- The maximum amount of this Agreement is: **Total \$274,202.00**
- The parties agree to comply with the terms and conditions of the following exhibits that are by this reference made a part of the Agreement:  
 Preamble  
 Article 1 - Scope of Work  
 Article 2 - Contract, Administration, Procedure  
 Article 3 - Agreement Changes  
 Article 4 - Administrative Policies and Procedures  
 Article 5 - Program Budget Requirements and Payments  
 Article 6 - Financial Reporting  
 Article 7 - CSBG Terms, Conditions, Programmatic Provisions, and Reporting  
 Article 8 - Compliance Policies and Procedures  
 Article 9 - Federal and State Policies and Provisions  
 Definitions  
 Table of Forms and Attachments  
 These documents can be accessed at <https://providers.csd.ca.gov/>.

**IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO**

<b>CONTRACTOR</b>		California Department of General Services Approval (or exemption, if applicable)	
CONTRACTOR NAME (If other than an individual, state whether a corporation, partnership, etc.) <b>Berkeley Community Action Agency</b>			
CONTRACTOR BUSINESS ADDRESS, CITY, STATE, ZIP 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704			
PRINTED NAME OF PERSON SIGNING Dee Williams-Ridley		TITLE City Manager	
CONTRACTOR AUTHORIZED SIGNATURE  SF00000CA2614400		DATE SIGNED 4/1/2022	
<b>STATE OF CALIFORNIA</b>			
CONTRACTING AGENCY NAME <b>Department of Community Services and Development</b>			
CONTRACTING AGENCY ADDRESS <b>2389 Gateway Oaks Drive, Suite 100</b>		CITY <b>Sacramento</b>	STATE <b>CA</b>
PRINTED NAME OF PERSON SIGNING <b>Chris Vail</b>		TITLE <b>Chief Financial Officer</b>	
CONTRACTING AGENCY AUTHORIZED SIGNATURE  SF00000CA114400		DATE SIGNED 4/8/2022	

I hereby certify that all conditions for exemption have been complied with, and the document is exempt from the Department of General Services approval.

CS  
SP

## RESOLUTION NO. 70,155-N.S.

## REVENUE CONTRACT: 2022 COMMUNITY SERVICES BLOCK GRANT (CSBG)

WHEREAS, the City of Berkeley is a Community Action Agency and receives CSBG funds as the Berkeley Community Action Agency to support anti-poverty programs; and

WHEREAS, the Human Welfare and Community Action Commission (HWCAC) acts as an advisory tri-partite Board to the Council providing public participation in the governing process; and

WHEREAS, at the October 20, 2021 HWCAC meeting a motion was passed recommending that the City accept the Community Service Block Grant Funds; and

WHEREAS, this CSBG revenue contract is for the period of January 1, 2022 to May 31, 2023, with the option to extend the contract period and/or accept amendments that either increase the contract amount and/or update contract terms, for a contract amount of \$274,202 (334-51-504-530-0000-000-000-431110); and

WHEREAS, the funds have historically been used to support anti-poverty services and to support City of Berkeley oversight and management of anti-poverty programs (budget code (334-51-504-530-0000-000-444-Various to 334-51-504-535-0000-000-444-Various).


NOW THEREFORE, BE IT RESOLVED by the Council of the City of Berkeley that the City Manager or her designee is authorized to accept Community Service Block Grant Contract Number 22F-5001 for the amount of \$274,202, and execute any resultant agreements and amendments including amendments that may decrease or increase the contract amount or add discretionary funding, or to change the contract term, or to update contract terms, to provide low-income services for the time period January 1, 2022 to May 31, 2023, with the option to extend the contract period as amended by the California State Department of Community Services and Development. A record signature copy of said agreement and any amendments shall be on file in the office of the City Clerk.

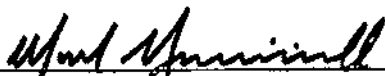
The foregoing Resolution was adopted by the Berkeley City Council on December 14, 2021 by the following vote:

Ayes: Bartlett, Droste, Hahn, Harrison, Kesarwani, Robinson, Taplin, Wengraf, and Arreguin.

Noes: None.

Absent: None.

  
\_\_\_\_\_  
Jesse Arreguin, Mayor

Attest:   
\_\_\_\_\_  
Mark Numainville, City Clerk



DAVID SCRIBNER  
DIRECTOR

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



GAVIN NEWSOM  
GOVERNOR

November 3, 2021

Dear Executive Director:

The Department of Community Services and Development (CSD) is pleased to announce the release of the 2022 Community Services Block Grant (CSBG) contract. This cover letter provides information on the release of the CSBG grant award, contract period of performance, 2022 contract allocation, contract submission process, advance payments, and CSD's operation under Continuing Resolution (CR) (H.R. 5305) through December 3, 2021. Also included is information on the contract webinar and available resources on the Local Agencies Portal.

On October 29, 2021, CSD received California's Notice of Grant Award for \$16,379,862, which represents the first quarter release of 2022 CSBG Grant funds under the CR and the amount of the total contract allocation CSBG agencies are authorized to expend.

Attached is the 2022 CSBG contract and allocation spreadsheet for the 2022 program year. The allocation spreadsheet reflects a total 2022 CSBG contract allocation of \$65,519,449 and to be used for the purposes of contract planning and execution. When completing your CSBG fiscal data budget forms, please use the amount identified for your agency on the spreadsheet labeled "Total 2022 Contract."

The 2022 CSBG Contract term encompasses two distinct timeframes: a period of performance from January 1, 2022 through December 31, 2022, and an extension period from January 1, 2023 through May 31, 2023. Agencies are expected to expend 100 percent of their contract amount as referenced in Article 1.3 *Agreement Amount* of the 2022 CSBG contract by the end of the period of performance. The extension period is available upon CSD's approval for agencies who are unable to fully expend their contract amount during the period of performance. Requests for an extension must be submitted to CSD no later than November 16, 2022.

To facilitate the timely execution of your contract, please refer to the checklist for all required documents and due dates for contract deliverables. Agencies are required to execute the CSBG contract electronically via DocuSign. The contract packet, including all deliverables, must be completed and returned to CSD within 30 calendar days for private non-profit agencies and 45 calendar days for public agencies from the date of this contract release. Please refer to Article 2.1, *Required Documents*, for further information.

Executive Director  
Page 2

Please note that all contract documents and deliverables must be received and approved by CSD to receive an advance payment (also referred to as working capital advance) or expenditure reimbursement. Following the approval of contract deliverables, your agency's advance payment will be automatically authorized. If your agency declines to receive an advance payment, please submit a letter with the contract on your organization's letterhead, declining the advance payment.

### **Income Eligibility Threshold Federal Poverty Level (FPL)**

On October 19, 2021, OCS issued a Dear Colleague Letter advising of the CR signed into law by President Biden on September 30, 2021, that allocates CSBG funds and extends the authority for states to revise the eligibility income limit from 125 to 200 percent of the Federal Poverty Level (FPL) through December 3, 2021 for regular CSBG and CARES CSBG funding. Since the effective date of the 2022 CSBG contract is scheduled to occur after the CR deadline, CSD will issue separate guidance on applying the 200 percent of the FPL income eligibility threshold upon notification from OCS. Please note that with the passage of AB 135 (Chapter 85, Statutes of 2021), California's income eligibility threshold aligns with FPL; therefore, if an extension of the 200 percent of FPL is not approved, CSBG eligibility will revert to 125 percent of the FPL.

In mid-November 2021, a recorded contract webinar will be uploaded to CSD's Local Agencies Portal, which will provide guidance on important contract elements and aid the completion of required contract forms. In addition, a live question and answer session will be held in early December 2021 to respond to questions pertinent to the contract and execution process.

The red-lined version of the 2022 CSBG contract language is available on CSD's [Local Agencies Portal](#), under the CSBG Contracts tab. For any questions related to the contract submission, program requirements, or the contract webinar, please contact your designated Field Representative.

CSD looks forward to a continued productive partnership so that, together, we can effectively administer our critical programs and services designed to strengthen the economic security of vulnerable Californians.

Sincerely,



DAVID SCRIBNER  
Director  
Department of Community Services and Development

Attachments

## 2022 Community Services Block Grant (CSBG) Contract Checklist

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### General Comments and Requirements:

Please contact your assigned Field Operations Representative immediately for assistance if this Agreement requires corrections or if you have not yet completed the **DocuSign® Contact Update Form, (CSD 489)** with the California Department of Community Services and Development (CSD). To access the DocuSign form, click on the following link: <https://agencies.csd.ca.gov/home/CSBG/Pages/Forms.aspx#k=#s=16>

### Contract Packet:

The completed contract packet (list of documents/forms below) must be returned to CSD to execute the contract. Please use the checkboxes below to indicate the completed documents/forms are included:

- Submitted contract via DocuSign, which includes the signed Contract Face Sheet (STD 213)** with the name and title of the individual authorized to sign the Agreement
- Federal Funding Accountability and Transparency Act (FFATA) Form**
- Signed Lobbying Form**
- Current insurance documents or Self-Insurance Authority Certification** if not already on file with CSD. New evidence of insurance (ACORD 25) is required if current insurance expires during the contract term, or if the amount of insurance needs to be increased.
- Board resolution.** (Not applicable if a general board resolution has already been submitted and is not specific to the program, program year, or contract number, and does not contain any changes.)

**Please submit your completed contract packet within 30 days (45 days for public agencies) from the release of the contract via DocuSign.**

### Contract Deliverables:

The following **contract deliverables** (as applicable) must be completed and returned to your Field Representative within 30 calendar days for private non-profit agencies and 45 calendar days for public agencies from the date of this contract release. Please use the checkboxes below to indicate the completed documents/forms are included:

**425 Budget Series Forms**, ensuring all numbers match the Allocation Spreadsheet posted to the Local Agencies Portal at:

<https://agencies.csd.ca.gov/home/CSBG/Pages/Forms.aspx#k=#s=16>



- CSD 425.S CSBG Contract Budget Summary**



## 2022 Community Services Block Grant (CSBG) Contract Checklist

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- CSD 425.1.1 CSBG Budget Support Personnel Costs
- CSD 425.1.2 CSBG Budget Support Non-Personnel Costs
- CSD 425.1.3 CSBG Budget Support Other Agency Operating Funds
- CSD 425.1.4 CSBG Contract Budget Narrative
  
- CSBG Annual Work Plan (CSD 641)
- CSD 188 Agency Staff and Board Roster Form
- Board Meeting Schedule
- CSD Public Website Update Form 168
- Updated organizational bylaws. (Not applicable if no changes have occurred in the past calendar year.)
- Submit CSBG Annual Work Plan target projections for Modules 3 and 4 using CSD 641A and 641B (worksheets) available on the Local Agencies Portal.

Please return your completed **contract deliverables** (as applicable) via email to your assigned Field Operations Representative.

All forms are located on the **Forms** page under the **CSBG tab** of the CSD's Local Agencies Portal at:

<https://agencies.csd.ca.gov/home/CSBG/Pages/Forms.aspx#k=#s=16>

Please Note: Per Article 5.2, Advance Payments – Amount, Subsection 5.2.1, Contractor will not be issued an advance or reimbursed for any costs incurred until CSD approves all contract deliverables.



Attachment A

State of California  
 Department of Community Services and Development  
 2022 CSBG Allocation  
 Non-CAAs

**NATIVE AMERICAN INDIANS**

Agency	Contract Number	Total 2022 Contract	25% Advance
Karuk Tribe (NAI-LPA) (Core Funding)	22F-5101	42,000	0
Karuk Tribe (NAI-LPA)	22F-5102	81,891	0
NCIDC, Inc. (NAI-LPA) (Core Funding)	22F-5103	122,000	30,500
NCIDC, Inc./LIFE (NAI-LPA) (Core Funding)	<i>(Included with NCIDC below)</i>		
NCIDC, Inc. (NAI-LPA)	22F-5104	2,016,115	504,029
Co of LA Workforce Dev, Aging & Com Svcs	22F-5105	293,253	73,313
<b>TOTAL</b>		<u>2,555,259</u>	<u>607,842</u>

**MIGRANT & SEASONAL FARMWORKERS**

Agency	Contract Number	Total 2022 Contract	25% Advance
California Human Development Corporation	22F-5201	1,506,947	376,737
Proteus, Inc.	22F-5202	2,424,220	606,055
Central Valley Opportunity Center, Inc.	22F-5203	589,675	147,419
Center for Employment Training	22F-5204	2,031,103	507,776
<b>TOTAL</b>		<u>6,551,945</u>	<u>1,637,987</u>

**LIMITED PURPOSE AGENCIES  
 (DISCRETIONARY FUNDS)**

Agency	Contract Number	Total 2022 Contract	25% Advance
Community Design Center	22F-5301	174,886	43,722
Del Norte Senior Center, Inc.	22F-5302	141,224	35,306
Rural Community Assistance Corporation	22F-5303	189,677	0
<b>TOTAL</b>		<u>505,787</u>	<u>79,028</u>

**Attachment A**  
**State of California**  
**Department of Community Services and Development**  
**2022 CSBG Allocation**  
**CAAs**

County	Agency	Contract Number	Total 2022 Contract	25% Advance
Alameda	Berkeley Community Action Agency	22F-5001	274,202	68,551
Alameda	City of Oakland, Human Services Department	22F-5002	1,391,569	347,892
Alpine	Inyo Mono Advocates for Community Action, Inc.	22F-5003	1,344	336
Amador/Tuolumne	Amador-Tuolumne Community Action Agency	22F-5004	268,469	67,117
Butte	Community Action Agency of Butte County, Inc.	22F-5005	371,228	92,807
Calaveras/Mariposa	Calaveras-Mariposa Community Action Agency	22F-5006	267,779	66,945
Colusa	SEE GLENN COUNTY			
Contra Costa	Contra Costa Employment & Human Services Dept/CSB	22F-5007	873,970	218,493
Del Norte	Del Norte Senior Center, Inc.	22F-5008	52,584	13,146
El Dorado	El Dorado County Health and Human Services Agency	22F-5009	293,811	0
Fresno	Fresno County Economic Opportunities Commission	22F-5010	1,905,650	476,413
Glenn/Colusa/Trinity	Glenn County Community Action Department	22F-5011	269,282	67,321
Humboldt	Redwood Community Action Agency	22F-5012	276,589	69,147
Imperial	Camposinos Unidos, Inc.	22F-5013	321,966	80,492
Inyo/Mono	Inyo Mono Advocates for Community Action, Inc.	22F-5014	265,960	66,490
Kern	Community Action Partnership of Kern	22F-5015	1,530,496	382,624
Kings	Kings Community Action Organization, Inc.	22F-5016	309,457	0
Lake/Mendocino	North Coast Opportunities, Inc.	22F-5017	561,536	140,384
Lassen/Plumas/Sierra	Plumas County Community Development Commission	22F-5018	267,437	66,859
Los Angeles	Foothill Unity Center, Inc.	22F-5019	331,185	82,796
Los Angeles	Long Beach Community Action Partnership	22F-5020	808,733	202,183
Los Angeles	County of Los Angeles Dept. of Public Social Services	22F-5021	6,239,069	0
Los Angeles	City of Los Angeles Housing + Community Investment Dept.	22F-5022	6,756,987	1,689,247
Madera	Community Action Partnership of Madera County, Inc.	22F-5023	286,748	71,687
Marin	Community Action Marin	22F-5024	277,112	69,278
Mariposa	SEE CALAVERAS COUNTY			
Mendocino	SEE LAKE COUNTY			
Merced	Merced County Community Action Agency	22F-5025	513,137	128,284
Modoc/Siskiyou	Modoc-Siskiyou Community Action Agency	22F-5026	269,282	67,321
Mono	SEE INYO COUNTY			
Monterey	Monterey County Community Action Partnership	22F-5027	514,145	128,536
Napa	Community Action Napa Valley	22F-5028	294,879	73,720
Nevada	Nevada County Dept. of Housing & Community Services	22F-5029	278,748	0
Orange	Community Action Partnership of Orange County	22F-5030	2,808,423	702,106

## Attachment A

State of California  
 Department of Community Services and Development  
 2022 CSBG Allocation  
 CAAs

County	Agency	Contract Number	Total 2022 Contract	25% Advance
Placer	Project GO, Inc.	22F-5031	343,522	85,881
Plumas	SEE LASSEN COUNTY			
Riverside	Community Action Partnership of Riverside County	22F-5032	2,672,059	668,015
Sacramento	Sacramento Employment and Training Agency	22F-5033	1,815,891	453,973
San Benito	San Benito County H&HSA, CS & WD	22F-5034	275,298	0
San Bernardino	Community Action Partnership of San Bernardino County	22F-5035	2,766,917	691,729
San Diego	County of San Diego, H&HSA, CAP	22F-5036	3,427,251	856,813
San Francisco	Urban Services YMCA	22F-5037	878,653	219,663
San Joaquin	San Joaquin County Dept. of Aging & Community Services	22F-5038	1,001,853	0
San Luis Obispo	CAP of San Luis Obispo County, Inc.	22F-5039	305,707	0
San Mateo	San Mateo County Human Services Agency	22F-5040	465,921	0
Santa Barbara	Community Action Commission of Santa Barbara County	22F-5041	544,516	136,129
Santa Clara	Sacred Heart Community Service	22F-5042	1,454,766	363,692
Santa Cruz	Community Action Board of Santa Cruz County, Inc.	22F-5043	298,195	74,549
Shasta	Shasta County Community Action Agency	22F-5044	307,734	0
Sierra	SEE LASSEN COUNTY			
Siskiyou	SEE MODOC COUNTY			
Solano	Community Action Partnership of Solano, JPA	22F-5045	395,290	98,823
Sonoma	Community Action Partnership of Sonoma County	22F-5046	461,030	115,258
Stanislaus	Central Valley Opportunity Center, Inc.	22F-5047	787,054	196,764
Sutter	Sutter County Community Action Agency	22F-5048	276,561	69,140
Tehama	Tehama County Community Action Agency	22F-5049	293,419	73,355
Trinity	SEE GLENN COUNTY			
Tulare	Community Services & Employment Training, Inc.	22F-5050	923,427	230,857
Tuolumne	SEE AMADOR COUNTY			
Ventura	Community Action of Ventura County, Inc.	22F-5051	700,758	175,190
Yolo	County of Yolo Health and Human Services Agency	22F-5052	302,667	75,667
Yuba	Yuba County Community Services Commission	22F-5053	280,035	70,009
TOTAL, all counties			49,860,301	10,095,682



**CERTIFICATION REGARDING LOBBYING**  
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
FAMILY SUPPORT ADMINISTRATION

PROGRAM: 2022 Community Services Block Grant (CSBG)

PERIOD: January 1, 2022 through May 31, 2023

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 any 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, 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 document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

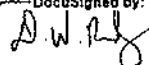
This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to 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.

City Manager

Title

Berkeley Community Action Agency

Agency/Organization

DocuSigned by:  
  
5E09300CA2E54EC

Signature

4/1/2022

Date

### DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB  
0348-0046

Complete the form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<p><b>1. Type of Federal Action:</b></p> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<p><b>2. Status of Federal Action:</b></p> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<p><b>3. Report Type:</b></p> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
		<p>For Material Change Only:                  year _____ quarter _____                  date of Last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b></p> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p>  Congressional District, if known: _____	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> CFDA Number, if applicable: _____	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> \$ _____	
<p><b>10. a. Name address of Lobbying Entity (if individual, last name, first, name, MI):</b></p>	<p><b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b></p>	
<p>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p><b>11. Amount of Payment (check all that apply):</b></p> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<p><b>13. Type of Payment (check all that apply):</b></p> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<p><b>12. Form of Payment (check all that apply):</b></p> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<p><b>14. Brief Description of Services Performed or to be Performed and Date(s) of Services, including officer(s), employee(s), or Member(s), contacted, for Payment indicated in Item 11:</b></p> (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<p><b>15. Continuation Sheet(s) SF-LLL-A attached:</b>    <input type="checkbox"/> Yes    <input type="checkbox"/> No</p>		
<p><b>16</b> Information requested through this form is authorized by Title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1353. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty for not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>	
<p><b>Federal Use Only:</b></p>		<p>Authorized for Local Reproductions Standard Form - LLL</p>

**DISCLOSURE OF LOBBYING ACTIVITIES**  
CONTINUATION SHEET

Approved by OMB  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

Authorized for Local Reproduction  
Standard Form - LLL-A

## INSTRUCTION FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and ZIP Code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full name of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budgets. Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

Department of Community Services and Development  
CSD 279 (Rev. 1/2015)

Community Services and Development  
Federal Funding Accountability and Transparency Act Report Form

## Return with the Contract

As of October 1, 2010, CSD is required to comply with sub-award reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA). CSD must file the FFATA sub-award report by the end of the month following the month in which CSD awards funds greater than or equal to \$25,000 to any agency/service provider. In accordance with terms of the CSD agreement, agencies are required to provide the information requested in this form on or before the above due date. Failure to timely submit the completed form may result in "high-risk" designation and/or imposition of additional special terms and conditions on the agency's eligibility for CSD funds.

Please e-mail completed report forms to your respective program e-mail address listed below:

Department of Energy Weatherization Assistance Program: Wx@csd.ca.gov

Community Services Block Grant: CSBGDIV@csd.ca.gov

Lead Hazard Control: LEADGrants@csd.ca.gov

Low Income Home Energy Assistance Program: Wx@csd.ca.gov

**NOTE: If your agency receives multiple Community Services and Development (CSD) awards under various programs (i.e., Community Services Block Grant (CSBG), Weatherization Assistance Program (WX), Lead Hazard Control Program (LHCP), Low-Income Home Energy Assistance Program), complete a separate form for each program.**

### AGENCY/SUB-AWARDEE INFORMATION

Agency Name	Berkeley Community Action Agency			
Program Type ( <i>check one</i> )	<input checked="" type="checkbox"/> CSBG	<input type="checkbox"/> LEAD	<input type="checkbox"/> LIHEAP	<input type="checkbox"/> DOE WAP
Contract #(s) ( <i>list all active contracts for the selected program</i> )	22F-5001			
Contract Period(s) ( <i>mm/dd/yy - mm/dd/yy</i> )	January 1, 2022 -	May 31, 2023		
Agency Unique Identifier (DUNS Number)	76529924			
Agency Primary Contact Information ( <i>person responsible for completing this form</i> )	Name:	Margot Ernst		
	Title	Housing and Community Services Manager		
	E-mail:	MErnst@cityofberkeley.info		
	Phone:	(510)981-5427		
Location of Agency	Mailing Address:	2180 Milvia Street, 2nd Floor		
	State:	CA		
	Zip + 4 digits ( <i>+4 digit is required</i> )	94704-1122		
	U.S. Congressional District:	9		
	State Assembly District:	15		
State Senate District:	9			



Department of Community Services and Development  
 CSD 279 (Rev. 1/2015)

Place of Performance <i>(where program funds are primarily spent, if different from agency location above)</i>	Street Address:	2180 Milvia Street
	State:	CA
	Zip + 4 digits (+4 digit is required)	94704-1122
	U.S. Congressional District:	9
	State Assembly District:	15
	State Senate District:	9
Agency (Sub-Awardee) Executive Compensation Reporting	Is more than 80% of your agency's annual gross revenue from the Federal government? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	<i>(If YES, continue to the next question. If NO, you are now finished completing this form.)</i>	
	Does your agency's total annual federal funding exceed \$25 million? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<i>(If YES, continue to the next question. If NO, you are now finished completing this form.)</i>	
Is your agency one of the entities described below? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<ul style="list-style-type: none"> <li>• A tax-exempt nonprofit entity required to file an annual Form 990 return with the Internal Revenue Service (IRS).</li> <li>• A publicly owned corporation required to file annual reports with the Securities and Exchange Commission (SEC).</li> </ul>		
<i>(If NO, please list the names and compensation of your agency's top five highest compensated employees in the spaces below. If YES, you are now finished completing this form.)</i>		
Five Highest Compensated Executives/Employees	Name	
	Compensation	
	Name	
	Compensation	
	Name	
	Compensation	
	Name	
	Compensation	
	Name	
	Compensation	

Department of Community Services and Development  
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## Description of Information Requested

### Place of Performance

Address represents where the prime recipient is performing the majority of work funded. If the award funds multiple projects in different locations, then an address such as a city hall or county seat may be the most appropriate if it represent where the majority of funds are being used.

### Agency/Sub-Awardee Executive Compensation Reporting

Sub-awardees must report the total compensation and names of the top five executives in the organization if:

- a) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and
- b) Compensation information is not readily available through reporting to the IRS on a Form 990 (section 6104 of the Internal Revenue Code of 1986), or through reporting to Securities and Exchange Commission (SEC). SEC reporting is required for publicly owned/traded corporations.

Exemptions: Refer to 2 CFR

Part 170 for exemption <http://www.gpo.gov/fdsys/pkg/CFR-2012-title2-vol1/pdf/CFR-2012-title2-vol1-part170.pdf> criteria.

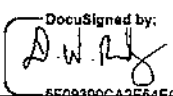
## Additional Resources

Unique Identifier (DUNS Number)	
The Data Universal Numbering System (DUNS) is the widely used system for identifying business entities on a location specific basis. The DUNS number remains with the company location to which it has been assigned even if it closes and goes out of business.	<a href="https://iupdate.dnb.com/i/update/companylookup.htm">https://iupdate.dnb.com/i/update/companylookup.htm</a>
Zip Code + 4 Digit Zip	
Use the United States Postal Service website to identify your +4 digit zip	<a href="https://tools.usps.com/go/ZipLookupActionInput.action">https://tools.usps.com/go/ZipLookupActionInput.action</a>
Congressional District	
Use the following sites to identify your congressional district	
U.S. Congressional District	<a href="http://www.house.gov/representatives/find/">http://www.house.gov/representatives/find/</a>
State Assembly and Senate District	<a href="http://findyourrep.legislature.ca.gov/">http://findyourrep.legislature.ca.gov/</a>
Reporting Requirement Regulations	
The Federal Funding Accountability and Transparency Act of 2006	<a href="http://www.gpo.gov/fdsys/pkg/PLAW-109publ282/html/PLAW-109publ282.htm">http://www.gpo.gov/fdsys/pkg/PLAW-109publ282/html/PLAW-109publ282.htm</a>
FFATA Subaward Reporting System (FSRS) website	<a href="https://www.fsrs.gov/">https://www.fsrs.gov/</a>

CCC 04/2017

**CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Bidder Firm Name (Printed)</i> City of Berkeley		<i>Federal ID Number</i> 94-6000299
<i>By (Authorized Signature)</i>  <small>DocuSigned by: D.W. Ridley 8E98306CA2F64EC</small>		
<i>Printed Name and Title of Person Signing</i> Dee Williams-Ridley		Dee Williams-Ridley, City Manager
<i>Date Executed</i> 4/1/2022	<i>Executed in the County of</i> Alameda	

**CONTRACTOR CERTIFICATION CLAUSES**

1. **STATEMENT OF COMPLIANCE:** Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)

2. **DRUG-FREE WORKPLACE REQUIREMENTS:** Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the person's or organization's policy of maintaining a drug-free workplace;
- 3) any available counseling, rehabilitation and employee assistance programs; and,
- 4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

- 1) receive a copy of the company's drug-free workplace policy statement; and,
- 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the

certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations,

or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.

8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

### **DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.

2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.

2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.

b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.

c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

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## SUBVENTION AGREEMENT

### PREAMBLE

This subvention agreement, for the funding of Community Services Block Grant (CSBG) programs in 2022 (“Agreement”), is entered into between the Department of Community Services and Development (“CSD”) and the contractor named on the face sheet of this Agreement, Form STD 213 (“Contractor”), and shall be enforceable on the date last signed.

NOW THEREFORE, in consideration of the promises and of the mutual agreements and covenants hereinafter set forth, the CSD and Contractor hereby agree as follows:

### ARTICLE 1 – SCOPE OF WORK

#### 1.1 General

Contractor shall administer and/or operate community-based programs designed to reduce poverty, revitalize low-income communities, and empower low-income families and individuals within Contractor’s service area to achieve greater self-sufficiency, pursuant to Title 42 of the United States Code (USC) Sections 9901 et seq. (the Community Services Block Grant Act, as amended) and Government Code Sections 12085 et seq., as amended. Unless otherwise specified in the Contractor’s Community Action Plan or elsewhere in this Agreement, Contractor shall make its services and activities available to the low-income community within its service area throughout the entire performance period of this Agreement. Contractor shall ensure that all services funded in whole or in part through this Agreement will support state and federal policies and goals of the CSBG Act as set forth in the above-referenced statutes. The CSBG Catalog of Federal Domestic Assistance number is 93.569. The award is made available through the United States Department of Health and Human Services (HHS).

#### 1.2 Agreement Term

1.2.1 The term of this Agreement shall be as specified on the Agreement face sheet (STD 213) and is divided into two distinct sections: a period of performance from January 1, 2022 through December 31, 2022, and an extension period of January 1, 2023 through May 31, 2023. The Contractor is expected to expend 100 percent of the Agreement amount as referenced in Article 1.3 below, by the end of the period of performance. The extension period is available upon approval by CSD to contractors unable to fully expend the Agreement amount during the period of performance.

1.2.2 *Period of Performance.* The period of performance of this Agreement shall be from January 1, 2022 through December 31, 2022. One hundred percent of the Agreement amount specified in Article 1.3 below is expected to be fully expended by the end of the period of performance.

1.2.3 *Extension Period.* The extension period provided by this Agreement is available upon approval by CSD from January 1, 2023 through May 31, 2023 to those contractors who will not fully expend 100 percent of the Agreement amount by the

## SUBVENTION AGREEMENT

end of the performance period. Requests for extensions must be received no later than November 16, 2022.

### 1.3 Agreement Amount

The maximum amount of this Agreement shall be as specified on the face sheet (STD 213) and is subject to adjustment(s), in accordance with the following terms:

- 1.3.1 The initial amount shall be based on the prior year's grant award of the federal Community Services Block Grant award.
- 1.3.2 Upon notification of the full federal fiscal year grant award amount from the HHS, CSD shall, if necessary, issue an amendment to this Agreement to increase or decrease the maximum amount.
- 1.3.3 If the full amount of the HHS CSBG grant award to CSD is not available for allocation, CSD will notify Contractor in writing of the amount of Contractor's allocation that is available for expenditure and shall advance funds in accordance with Article 5.2 of this Agreement, as appropriate. When additional funds are subsequently made available by HHS, CSD will notify Contractor of the total amount of funds that may be expended. Contractor may not expend funds in excess of the amount available and authorized by CSD for expenditure. Access to funding shall be conferred upon Contractor through written authorization by CSD, and amendment to this Agreement shall not be required for such purpose, except in cases where the maximum amount of the Agreement has been revised.
- 1.3.4 In the event HHS fails to provide sufficient funding to CSD to enable payment of Contractor's maximum amount of the Agreement prior to the end of the contract term, the contract amount shall be deemed to be reduced to the amount actually provided by HHS and the contract shall be closed on that basis without need for amendment.
- 1.3.5 This Agreement may include a specific amount allocated from the annual discretionary allocation. These funds may target a specific purpose and require a separate budget and work plan in accordance with Article 7.1 of this Agreement.

### 1.4 Service Area

The services shall be performed in the Contractor's service area as indicated on CSD's Public Website at <https://www.csd.ca.gov>.

### 1.5 Legal Authorities – Program Requirements, Standards, and Guidance

- 1.5.1 All services and activities are to be provided in accordance with all applicable federal, state, and local laws and regulations, and as those laws and regulations may be amended from time to time, including but not limited to, the following:

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- 1.5.1.1 The Community Services Block Grant Act, as amended, 42 USC § 9901 et seq., and 45 Code of Federal Regulations (CFR) Part 96;
  - 1.5.1.2 California laws and regulations applicable to CSBG Programs, Government Code (Gov. Code) § 12085 et seq., as amended, and Title 22, California Code of Regulations (Cal. Code Regs.) §§ 100601-100795;
  - 1.5.1.3 The Single Audit Act, 31 USC § 7501 et seq., and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, 45 CFR Part 75;
  - 1.5.1.4 California Civil Code §§ 1798 et seq., and the Federal Privacy Act of 1974 (5 USC § 552a); Requirements to Respond to Incidents Involving a Breach of Personal Information, Statewide Information Management Manual (SIMM) 5340-C, California Department of Technology; and
  - 1.5.1.5 California Contractor Certification Clauses 04/2017 (CCC 04/2017); and State contracting requirements, "General Terms and Conditions, GTC 04/2017". The provisions in their entirety, can be reviewed and downloaded at the [Department of General Services](https://www.dgs.ca.gov/) website at <https://www.dgs.ca.gov/>.
- 1.5.2 *Conflict of Laws.* Contractor shall comply with all of the requirements, standards, and guidelines contained in the authorities listed within this Agreement, as they may be amended from time to time, with respect to procurement requirements, administrative expenses, and other costs claimed under this Agreement, including those costs incurred pursuant to subcontracts executed by Contractor, notwithstanding any language contained in the following authorities that might otherwise exempt Contractor from their applicability. To the extent that the authorities directly conflict with any State law or regulation, or any provision of this Agreement, then that federal law or regulation shall apply, unless a provision of federal law applicable to block grants, such as 45 CFR § 96.30, specifically allows for the application of state law.
- 1.5.3 CSD shall provide Contractor with specific program guidance which shall be binding on the Contractor as a condition of the Contractor's eligibility to receive CSBG funds, provided:
- 1.5.3.1 That such guidance shall be issued by CSD in writing in the form of "CSD Program Notice (CPN) No. XX-XX" or "CSD Program Advisory (CPA) No. XX-XX";
  - 1.5.3.2 That such guidance shall be issued by CSD in the most timely and expeditious manner practicable;
  - 1.5.3.3 That such guidance shall be reasonably necessary to realize the intent and purposes of the CSBG Act;

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- 1.5.3.4 That major and material changes in program requirements, which substantially affect the Contractor's and/or CSD's ability to fulfill contractual obligations, or which otherwise create a substantial hardship on either the Contractor or CSD, shall be subject to an amendment to this Agreement;
- 1.5.3.5 That the parties' failure or inability to execute a mutually acceptable amendment within a period of time allowing the parties to reasonably comply with any major change(s) in CSBG requirements, shall result in this Agreement being without force and effect, subject only to such provisions contained herein as are intended to survive the Agreement in accordance with the express and implied provisions of applicable federal and state law;
- 1.5.3.6 That Contractor is duly informed of the risk of de-designation as an eligible entity, based on CSD's obligation to avoid/minimize interruption of CSBG-funded services in any part of the state, in the event that this Agreement terminates due to failure to agree to any necessary amendment; and
- 1.5.3.7 That upon CSD's or Contractor's good faith determination, delivered to the other party by written notice, that agreement to any necessary amendment cannot be achieved, then this contract shall be terminated, and any issues of eligible entity status addressed, in accordance with requirements of federal and state law and established CSD policy and procedure.
- 1.5.4 The federal and state laws, regulations, and other authorities referenced in this Agreement are hereby incorporated by reference. Copies may be accessed for reference on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.

**ARTICLE 2 – CONTRACT ADMINISTRATION AND PROCEDURE****2.1 Required Documents**

- 2.1.1 Contractor shall provide the following documents, satisfactory to CSD in form and substance, together with a signed copy of this Agreement before CSD executes and returns the Agreement to Contractor for implementation. The following documents shall be returned to the Budget and Contracts Services Unit at [contracts2@csd.ca.gov](mailto:contracts2@csd.ca.gov) within 30 calendar days of receipt for private agencies or 45 calendar days of receipt for public agencies:
- 2.1.1.1 Federal Funding Accountability and Transparency Act Report (CSD 279);
- 2.1.1.2 Certification Regarding Lobbying/Disclosure of Lobbying Activities;
- 2.1.1.3 Contractor Certification Clauses (CCC 04/2017);

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- 2.1.1.4 Current Insurance or Self-Insurance Authority Certification; and
- 2.1.1.5 Board Resolution authorizing execution of this Agreement.
- 2.1.2 In addition to the documentation requirements set forth in Article 2.1.1, CSD's obligations under this Agreement are expressly contingent upon Contractor providing the supplemental documentation set forth below, and available on the Local Agencies Portal at <https://agencies.csd.ca.gov/>. The following documents shall be returned to the assigned CSD Field Representative within 30 calendar days of receipt for private agencies or 45 calendar days of receipt for public agencies, and shall each be subject to approval by CSD in form and substance:
  - 2.1.2.1 CSBG Contract Budget Summary (CSD 425.S);
  - 2.1.2.2 CSBG Budget Support Personnel Costs (CSD 425.1.1);
  - 2.1.2.3 CSBG Budget Support Non-Personnel Costs (CSD 425.1.2);
  - 2.1.2.4 CSBG Budget Support Other Agency Operating Funds (CSD 425.1.3);
  - 2.1.2.5 CSBG Contract Budget Narrative (CSD 425.1.4);
  - 2.1.2.6 CSBG Annual Report Work Plan (CSD 641)
  - 2.1.2.7 CSBG Annual Report Projections (CSD 641A and or CSD 641B)
  - 2.1.2.8 Agency Staff and Board Roster (CSD 188);
  - 2.1.2.9 Board Meeting Schedule; and
  - 2.1.2.10 Updated Organizational Bylaws (if applicable).
- 2.1.3 *Board Resolution.* Contractor must also submit a governing board resolution with a DocuSign signature or a wet signature of the board's authorized representative, identifying the individual(s) authorized to execute the 2022 CSBG Agreement and any amendments.
- 2.1.4 CSD shall maintain a certified date-stamped copy of this Agreement for inspection by Contractor during normal business hours.
- 2.1.5 This Agreement may not be changed or altered by any party, except by a formal written, fully executed amendment, or as provided in Article 1.5.3 with respect to program guidance, or as provided in Article 3 – Agreement Changes. Upon such amendment of any provision, the amended PDF version shall be date-stamped and posted to the Local Agencies Portal at <https://agencies.csd.ca.gov/> until such time as a subsequent agreement or amendment is executed by the parties.

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- 2.1.6 Contractors that are public or governmental entities with local provisions requiring receipt of a copy of all parts of this Agreement as a prerequisite to execution, as well as other contractors that make special arrangements with CSD, may receive copies for execution and retention.

### 2.2 Contractor's Option of Termination

- 2.2.1 Contractor may, at Contractor's sole option, elect to terminate this Agreement in lieu of adherence to the procedures set out in Article 1.5.3, should Contractor determine that any subsequent program guidance or proposed amendment to the contract is unjustifiably onerous or otherwise adverse to Contractor's legitimate business interests and ability to implement the contract in an effective and reasonable manner, provided:
- 2.2.1.1 Such notice of termination is in writing and will be effective upon receipt by CSD, delivered by U.S. Postal Service Certified Mail, Return Receipt Requested.
- 2.2.1.2 Notice contains a statement of the reasons for termination with reference to the specific provision(s) in the program guidance or proposed amendment in question.
- 2.2.2 Contractor shall be entitled to reimbursement for all allowable costs incurred prior to termination of the contract. Such reimbursement shall be in accordance with the program guidance and contract provisions in effect at the time the cost was incurred.
- 2.2.3 Contractor shall, within 60 calendar days of termination, close out the contract in accordance with contractual closeout procedures as provided in Article 6.2 – Close-Out Report.
- 2.2.4 By executing this Agreement, Contractor acknowledges and understands that voluntary termination prior to the end of the Agreement term may result in Contractor's permanent or temporary de-designation as an eligible entity, due to CSD's obligation to seek replacement CSBG Provider(s) in accordance with state and federal CSBG requirements.

### 2.3 Budget Contingencies

- 2.3.1 *State Budget Contingency.*
- 2.3.1.1 It is mutually agreed that if funds are not appropriated for implementation of CSBG programs through the state budget process or otherwise, whether in the current year and/or any subsequent year covered by this Agreement, this Agreement shall be of no further force and effect. Upon written notice to Contractor by CSD that no funds are available for contract implementation, the Agreement shall be terminated, and the State shall

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have no obligation to pay Contractor or to furnish other consideration under this Agreement and Contractor shall not be obligated for performance.

2.3.1.2 If CSBG funding for any fiscal year is reduced to such degree that CSD reasonably determines that the program cannot be implemented effectively, the State shall at its sole discretion have the option either to terminate this Agreement upon written notice to Contractor or, in the alternative, to offer and negotiate an amendment addressing the reduced funding. If the parties fail to reach agreement on such amendment, CSD may at its option give written notice of termination without further obligation by either party except for contract closeout obligations or final settlement.

2.3.1.3 Pursuant to Cal. Gov. Code §12785, up to 3.5 percent of the discretionary funds is allocated to restore funding to the prior year's funding level for CSBG eligible entities. In the event the appropriation of the federal CSBG funds are significantly reduced, the CSBG discretionary funding may not be sufficient to restore funding to the prior year's funding level.

2.3.2 *Federal Budget Contingency.*

2.3.2.1 The parties agree that because of uncertainty in the federal budget process, this Agreement may be executed before the availability and amounts of federal funding can be ascertained, in order to minimize delays in the provision of services and the distribution of funds. The parties further agree that the obligations of the parties under this Agreement are expressly contingent on adequate funding being made available to the state by the United States Government.

2.3.2.2 If federal funding for any fiscal year is reduced to such degree that CSD reasonably determines that the program cannot be implemented effectively, CSD shall at its sole discretion have the option either to terminate this Agreement upon written notice to Contractor or, in the alternative, to offer and negotiate an amendment addressing the reduced funding. If the parties fail to reach an agreement on such amendment, CSD may at its option give written notice of termination without further obligation by either party except for contract closeout obligations or final settlement.

2.3.2.3 If federal funding authorities condition funding on any obligations, restrictions, limitations, or conditions not existent when this Agreement was executed, this Agreement shall be amended by mutual agreement for compliance with such obligations, restrictions, limitations or conditions. Failure of the parties to reach agreement on such amendment shall render this Agreement without force and effect.



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- 2.4.1 *Assignment.* Neither this Agreement nor any of the rights, interests, or obligations under this Agreement shall be assigned by any party without the prior written consent of the other parties, except in the case where responsibility for program implementation and oversight may be transferred by the State to another State agency. In the event of such transfer, this Agreement is binding on the agency to which the program is assigned.
- 2.4.2 *Merger/Entire Agreement.* This Agreement (including the attachments, documents and instruments referred to in this Agreement) constitutes the entire agreement and understanding of the parties with respect to the subject matter of this Agreement and supersedes all prior understandings and agreements, whether written or oral, among the parties with respect to such subject matter.
- 2.4.3 *Severability.* If any provision of this Agreement is found to be invalid or unenforceable in any respect for any reason, the validity and enforceability of any such provision in any other respect and of the remaining provisions of this Agreement will not be in any way impaired and shall remain in full force and effect.
- 2.4.4 *Notices.* Each party to this Agreement agrees to the use of electronic signatures, such as digital signatures that meet the requirements of the California Uniform Electronic Transactions Act (“CUEA”) (Cal. Civ. Code §§ 1633.1 to 1633.17), for executing this Agreement. CSD encourages Contractor to adopt the DocuSign platform to facilitate the receipt of this Agreement. Unless otherwise provided herein, notice given by the parties shall be in writing, delivered personally, by United States mail, or by overnight delivery service (with confirmation). Certain reporting and other communications may be delivered electronically as specified by CSD or as is customary between the parties. Notice shall be delivered as follows:

To **Contractor’s** address of record; and

To **CSD** at:

California Department of Community Services and Development  
Field Operations Unit  
2389 Gateway Oaks Drive, Suite 100  
Sacramento, CA 95833

**ARTICLE 3 – AGREEMENT CHANGES****3.1 Amendment**

- 3.1.1 Formal amendments to this Agreement are required for changes to the term, amount, scope of work, and/or formal name changes. No amendment to this

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Agreement shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or agreement not incorporated in the Agreement is binding on any of the parties.

- 3.1.2 If Contractor intends to request a formal amendment to this Agreement, the request must be submitted on CSD Form 425b, *Justification for Contract Amendment/Modification*, no later than 45 calendar days prior to the expiration of the Agreement term.
- 3.1.3 *Extension Period.* If Contractor identifies that they will not fully expend 100 percent of the Agreement amount by the end of the period of performance, then Contractor shall submit written notification to their assigned Field Representative on CSD Form 425b, *Justification for Contract Amendment/Modification*, no later than 45 calendar days prior to the expiration of the period of performance or no later than November 16, 2022. Refer to Article 1.2.2 for period of performance. The CSD Form 425b shall include:
- 3.1.3.1 The reason(s) the Contractor will not fully expend 100 percent of the Agreement amount by the end of the performance period; and
- 3.1.3.2 The date (January 31, February 28, March 31, April 30, or May 31, 2023) in which the Contractor proposes to fully expend 100 percent of the Agreement amount.
- 3.1.4 CSD Form 425b is located on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.
- 3.1.5 All requests for an Extension Period are subject to CSD approval.
- 3.2 Minor Modification**
- 3.2.1 Any request(s) for modification to CSBG Fiscal Data or Work Plan documents must be submitted on CSD Form 425b, *Justification for Contract Amendment/Modification*, no later than 45 calendar days prior to the expiration date of this Agreement.
- 3.2.2 Any increase to out-of-state travel costs or equipment purchases will require a request for modification to the budget and must be submitted on CSD Form 425b, *Justification for Contract Amendment/Modification*.

**ARTICLE 4 - ADMINISTRATIVE POLICIES AND PROCEDURES****4.1 Board Roster, Bylaws, Resolution, and Minutes**

- 4.1.1 Concurrently with Contractor's submission of this Agreement, Contractor shall submit to CSD at [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov) and the Contractor's assigned Field Representative the following:

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- 4.1.1.1 Unless otherwise specified in 4.1.1.3 and 4.1.1.4 below, Contractor shall submit to CSD an Agency Staff and Board Roster form (CSD 188) of the tripartite board including the name and sector (i.e., low-income, public, private) of each board member, contact information for each member including an address at a location other than the office of the eligible entity, vacancy title, and date each board seat was vacated. Contractor is responsible to notify CSD of any changes to the tripartite board within 30 calendar days of such occurrence.
- 4.1.1.2 Contractor must provide updated organizational bylaws if any changes occurred within the past calendar year.
- 4.1.1.3 In the case of Native American Indian (NAI) Contractors that have established another mechanism (in consultation with CSD and subject to CSD approval) to ensure low-income individuals' participation in the management of programs funded by this Agreement, a current roster of the NAI governing council, commission, board, or other body responsible for administration of CSBG-funded programs, and the most recent version of the organizational bylaws. The roster shall include contact information for each member of the governing body at a location other than the office of the NAI Contractor and shall identify how low-income individuals are represented in the organization's governance. NAI Contractors shall also submit the most recent version of the organizational bylaws. NAI Contractor is responsible to notify CSD of any changes to its governing body within 30 calendar days of such occurrence.
- 4.1.1.4 In the case of Limited Purpose Agency (LPA) Contractors, a current roster of Contractor's board, including the name of each board member, contact information for each member at a location other than the office of the LPA, and the most recent version of the organizational bylaws. LPA Contractor is responsible to notify CSD of any changes to its board within 30 calendar days of such occurrence.
- 4.1.2 Contractor's current governing board must authorize the execution of this Agreement. Contractor has the option of demonstrating such authority by either: (a) direct signature of a board member having signing authority; or (b) any lawful delegation of such authority that is consistent with Contractor's bylaws.
- 4.1.3 Where Contractor elects to delegate signing authority to the chief executive officer (CEO) or executive director (ED), CSD will accept either a resolution specific to this Agreement or a resolution approved by the current governing board with general applicability to any CSD program contract or amendment. Where Contractor provides a general resolution, Contractor shall maintain documentation that the CEO or ED provided timely and effective communication of the execution and terms of this Agreement to the board. Either a specific or current general resolution must be on file with CSD prior to CSD's final execution of this Agreement.

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- 4.1.4 Contractor shall submit to CSD the approved minutes of regularly scheduled meetings of its tripartite board, LPA contractor's board, NAI governing council, commission, advisory board, or other body responsible for administration of CSBG-funded programs, no later than 30 calendar days after the minutes are approved. Contractor shall submit board meeting minutes to CSD at [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov) and to the Contractor's assigned Field Representative. Regularly scheduled board meetings shall be held in accordance with Contractor's bylaws.
- 4.1.5 In addition to the minutes referenced in Article 4.14, if Contractor's tripartite board is advisory to the elected officials of a local government, Contractor also shall submit to CSD the minutes from any meeting of the elected officials where matters relating to this Agreement are heard; including, but not limited to, discussions about or decisions affecting the Community Action program. Such minutes shall be submitted to CSD no later than 30 calendar days after the minutes are approved. Contractor shall submit board meeting minutes to CSD at [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov) and to the Contractor's assigned Field Representative.

**4.2 Training and Quarterly CSBG Service Provider (CSP) Meetings**

Contractors shall make every effort to attend all trainings and quarterly CSP meetings associated with CSD.

**4.3 Internal Control Certification**

Contractor shall establish and maintain a system of internal accounting and administrative control. This responsibility includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. The system of internal accounting and administrative control shall be attested to within the Contractor's independent audit conducted pursuant to this Agreement, and include:

- 4.3.1 Segregation of duties appropriate to safeguard State assets;
- 4.3.2 Access to Contractor assets is limited to authorized personnel who require these assets in the performance of their assigned duties;
- 4.3.3 Authorization and recordkeeping procedures adequate to provide effective accounting controls over assets, liabilities, revenues, and expenditures;
- 4.3.4 Practices to be followed in performance of duties and functions;
- 4.3.5 Personnel of a quality commensurate with their responsibilities; and
- 4.3.6 Effective internal review.

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### 4.4 Record Retention Requirements

- 4.4.1 All records maintained by Contractor shall meet the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.361 through § 75.370).
- 4.4.2 Contractor shall maintain all records pertaining to this Agreement for a minimum of three years after submission of the final report. However, Contractor shall maintain applicable records until CSD resolves all audit and monitoring findings.
- 4.4.3 Contractor ensures that employee and applicant records shall be maintained in a confidential manner to ensure compliance with the Information Practices Act of 1977, as amended (Civ. Code §§ 1798 et seq.), and the Federal Privacy Act of 1974, as amended (5 USC § 552a).

### 4.5 Insurance Requirements

- 4.5.1 By execution of this Agreement, Contractor agrees that required insurance policies and bond shall be in effect at all times during the term of this Agreement.
- 4.5.2 Contractor shall provide CSD with written notice at least 30 calendar days prior to cancellation or reduction of insurance coverage to an amount less than that required in this Agreement.
- 4.5.3 Notices of Insurance must be submitted electronically via email to [BNCS@csd.ca.gov](mailto:BNCS@csd.ca.gov).
- 4.5.4 In the event said insurance coverage expires at any time or times during the term of this Agreement, Contractor agrees to provide within 30 calendar days prior to said expiration date, a new Certificate of Insurance (ACORD 25) evidencing insurance coverage as provided for herein for not less than the remainder of the term of this Agreement. The Certificate shall identify and name CSD as the Certificate Holder. New Certificates of Insurance will be reviewed for content and form by CSD.
- 4.5.5 In the event Contractor fails to maintain in effect at all times the specified insurance and bond coverage as herein provided, CSD may, in addition to any other available remedies it may have, suspend this Agreement.
- 4.5.6 With the exception of workers' compensation and fidelity bond, CSD shall be named as additional insured on all Certificates of Insurance required under this Agreement.
- 4.5.7 The issuance of other CSD contracts, to include any cash advances and reimbursement payments, to the Contractor shall be contingent upon required current insurance coverage being on file at CSD for this Agreement.

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4.5.8 Should Contractor utilize a subcontractor(s) to provide services under this Agreement, Contractor shall indemnify and hold the State harmless against any liability incurred by that subcontractor(s).

**4.6 Specific Insurance Requirements****4.6.1 Self-Insurance.**

4.6.1.1 When Contractor is a self-insured governmental entity, CSD, upon satisfactory proof, may waive the appropriate insurance requirements. To qualify for a waiver, an appropriate county or city risk manager shall sign a certification that shall contain assurance of the adequacy of the governmental entity's ability to cover any potential losses under this Agreement.

4.6.1.2 Contractor shall specify in writing a list of which coverage(s) will be self-insured under this Agreement and shall list all applicable policy numbers, expiration dates, and coverage amounts.

4.6.1.3 In the event that the Contractor's self-insurance coverage does not contain any changes from the prior year, CSD will accept a certified letter signed by authorized personnel stating that no changes have occurred from last year. This letter is due at the time of Agreement execution or within 30 calendar days of expiration of insurance.

4.6.1.4 In lieu of providing certification of self-insurance, Contractor may provide proof of excess insurance coverage through an insurance carrier who is licensed to underwrite insurance in the State of California.

**4.6.2 Workers' Compensation Insurance.**

4.6.2.1 Contractor shall have and maintain for the term of this Agreement workers' compensation insurance issued by an insurance carrier licensed to underwrite workers' compensation insurance in the State of California.

4.6.2.2 Contractor shall submit either an applicable Certificate of Insurance or a Certificate of Consent to Self-Insure issued by the Director of the California Department of Industrial Relations to CSD as evidence of compliance with the workers' compensation insurance requirement prior to issuance of an initial cash advance.

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4.6.3.1 Contractor shall maintain a commercial crime policy. If Contractor is a public entity, Contractor shall maintain a government crime policy. The commercial crime policy or government crime policy (hereinafter "fidelity bond") shall include the following coverages or their substantial equivalents: Employee Dishonesty/Theft, Forgery or Alteration, and Computer Fraud.

4.6.3.2 Contractor's fidelity bond coverage limits shall not be less than a minimum amount of 4 percent of the total amount of consideration set forth under this Agreement.

4.6.3.3 Contractor shall submit an applicable Certificate of Insurance (ACORD 25) to CSD as evidence of compliance with the fidelity bond requirement prior to issuance of an initial cash advance.

**4.6.4 General Liability Insurance.**

4.6.4.1 Contractor shall have and maintain for the term of this Agreement general liability and property damage insurance for a combined single limit of not less than \$500,000 per occurrence.

4.6.4.2 Contractor shall submit to CSD an applicable Certificate of Insurance naming CSD as an additional insured, as evidence of compliance with the general liability insurance requirement prior to issuance of an initial cash advance.

**4.6.5 Vehicle Insurance.**

4.6.5.1 Contractor shall have and maintain for the term of this Agreement vehicle insurance in the amount of \$500,000 for each person and each accident for bodily injury and in the amount of \$500,000 for each person and each accident for property damage.

4.6.5.2 When employees use their own vehicles to perform duties within the scope of their employment, Contractor shall have and maintain for the term of this Agreement non-owned and hired automobile liability insurance in the amount of \$500,000 for each person and each accident for bodily injury and \$500,000 for each person and each accident for property damage. Driving to and from place of business is not within the scope of employment.

4.6.5.3 Contractor shall submit to CSD an applicable Certificate of Insurance naming CSD as an additional insured as evidence of compliance with the vehicle insurance requirement prior to issuance of an initial cash advance.

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### 4.7 System Security Requirements

Contractor shall, in cooperation with CSD, institute policies, processes, procedures, and security controls designed to ensure the security of data and to protect information in accordance with the Information Practices Act of 1977 (Civ. Code §§ 1798 et seq.), and such other State and federal laws and regulations as may apply. The parties hereto agree to requirements, obligations, and standards in accordance with regulations set in the State Administrative Manual (SAM) and Statewide Information Management Manual (SIMM). In the event there are different system security standards that may be applied to this Article, Contractor shall endeavor to use the strictest security standard that complies with state and federal requirements.

### 4.8 Services Offered

Data exchange between CSD and Contractor shall be handled through one of three methods: (1) a Contractor user must upload data files or perform data entry using credentials provided by CSD; or (2) utilize CSD web applications as configured by the Contractor technology vendor; or (3) via email using security protocols, such as encryption and redaction, for any sensitive data.

### 4.9 Data Protection

- 4.9.1 Data exchanged between CSD and Contractor must be limited to the data fields included on Data Transfer Rules documents posted on the Local Agencies Portal at <https://agencies.csd.ca.gov/>. No personal financial information (e.g., credit card, bank account numbers), shall be stored or exchanged in the data exchange sessions.
- 4.9.2 Data exchanged between CSD and Contractor must be limited to the data fields as requested within the web applications. No personal financial information, (e.g., credit card, bank account numbers), shall be stored or exchanged in the data exchange sessions.
- 4.9.3 Data exchanged between CSD and Contractor via email communication must have all personally identifiable information (PII) and other sensitive information redacted before the document is sent. Alternately, Contractor is to encrypt any attachments that have sensitive data using encryption tools and configurations as required by CSD.
- 4.9.4 Access to the above-mentioned data must only be given to authorized personnel to complete essential duties. Authorized personnel are to log into these systems using their own assigned credentials (i.e., no login account sharing). Upon departure of personnel with assigned credentials, the Contractor will remove the employee's access to the systems as soon as possible.

### 4.10 Contractor Systems Security

- 4.10.1 The physical location of the computing and data storage devices (e.g., servers) shall be within controlled access facilities. Individual users may not have access



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to the data except through their systems that are specifically credentialed for Contractor business. All access will be controlled by appropriate identification, authentication, and authorization methods to validate the approved users.

- 4.10.2 Standards for secure transmission may be accomplished through such means as certificates, secure socket layer, etc., and storage of the data with encryption, if applicable.
- 4.10.3 Contractor shall securely destruct data by sanitizing media prior to disposal.
- 4.10.4 Contractor shall keep security patches, anti-virus, and anti-malware software up to date on all systems on which data may be used.

### 4.11 Trusted Behavior Expectations

CSD's application system and users shall protect Contractor's application system/data, and the Contractor's application system and users shall protect CSD's application system/data, in accordance with the federal Privacy Act of 1974 (5 USC § 552a), Trade Secrets Act (18 USC § 1905) and Unauthorized Access to Stored Communications (18 USC § 2701). Technology and systems code and functionality are owned by the respective parties and may not be shared with anyone else or used without the written consent of the owner.

### 4.12 Incident Reporting

Any party discovering a security incident shall report it in accordance with its incident reporting procedures. Contractor shall, within 24 hours of discovery, report to CSD's Information Security Office at [ISO@csd.ca.gov](mailto:ISO@csd.ca.gov) any security incident contemplated herein. Examples include, but are not limited to, stolen or lost equipment, malware/ransomware detection, suspected hacking, etc. Contractor further agrees CSD shall have the right to participate in the investigation of a security incident involving CSD's data, and to cooperate fully with CSD and other relevant State entities during independent investigation of the security incident.

### 4.13 Audit Trail Responsibilities

Both parties are responsible for auditing application processes and user activities. Activities that will be recorded include event type, date and time of event, user identification, workstation identification, success or failure of access attempts, and actions taken by system administrators.

### 4.14 Data Sharing Responsibilities

Contractor shall ensure that all primary and delegated secondary organizations that share, exchange, or use personal, sensitive, or confidential data, pursuant to this Agreement and subcontracts issued by Contractor, shall adhere to these security requirements and applicable state and federal law, in addition to further data sharing guidance as may be issued by CSD during the term of this Agreement. If data sharing is accomplished via interconnectivity of an application system, then data sharing must be certified to be secure by both parties.

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### 4.15 Travel and Per Diem

- 4.15.1 Contractor's total travel and per diem costs for in-state and/or out-of-state shall be included in the Agreement Budget(s). Out-of-state travel costs that exceed the budgeted amount shall not be reimbursed without prior written authorization from CSD.
- 4.15.2 Contractor's employee travel costs and per diem reimbursement rates shall be reimbursed in accordance with Contractor's written policies and procedures not to exceed federal per diem requirements, and subject to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.474) or any amendments thereto, as applicable.
- 4.15.3 In the absence of a written travel reimbursement policy, federal per diem limits shall apply.

### 4.16 Codes of Conduct

- 4.16.1 *Written Standards.* Contractor shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts or subcontracts. No employee, officer, or agent of the Contractor shall participate in the selection, award, or administration of a subcontract supported by federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Contractor shall neither solicit nor accept gratuities, favors, or anything of monetary value from subcontractors or parties to sub agreements. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipients.
- 4.16.2 *Self-Dealing Prohibited.* Contractor shall not pay federal funds received from CSD to any entity in which it (or one of its employees, officers, agents, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein) has an interest. As ownership constitutes a financial interest, Contractor shall not subcontract with a subsidiary. Similarly, Contractor shall not subcontract with an entity that employs or is about to employ any person described in 45 CFR § 75.327, or subsequent amendments to these requirements.

### 4.17 Conflict of Interest

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- 4.17.1 Contractor certifies that its employees and the officers of its governing body shall avoid any actual or potential conflicts of interest and that no officer or employee who performs any functions or responsibilities in connection with this Agreement shall have any personal financial interest or benefit that either directly or indirectly arises from this Agreement.
- 4.17.2 Contractor shall establish written safeguards to prohibit its employees or its officers from using their positions for a purpose that could result in private gain or that gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

### 4.18 Fraud, Waste, and Abuse

- 4.18.1 Contractor shall submit a written report to CSD within 45 days of incidents and activities, or suspected incidents and activities, involving fraud, waste, and abuse of CSBG funds by Contractor's employees, subcontractors, clients, or other parties affiliated with Contractor. Incidents and activities subject to reporting under this section include, but are not limited to, criminal acts and other violations of law constituting a misuse of funds that could result in cost disallowance. Contractor shall, in a timely manner, inform CSD of any reports or complaints submitted to law enforcement officials by Contractor, Contractor's employees, subcontractors, clients or other parties affiliated with Contractor, concerning the misuse of CSBG funds.
- 4.18.2 Contractor shall provide employees, subcontractors, clients, and other parties affiliated with the Contractor the information necessary to report fraud, waste, and abuse to the U.S. Department of Health and Human Services (HHS) Office of Inspector General Fraud hotline.

### 4.19 Procurement Standards

- 4.19.1 *Maintenance of Written Procurement Procedures.* Contractors shall administer this Agreement in accordance with all federal and State rules and regulations governing the CSBG program pertaining to procurement, including the Code of Federal Regulations Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards and amendments thereto, consistent with the general CFR compliance requirement in Article 1 of this Agreement. Contractors shall establish, maintain, and follow written procurement procedures consistent with the procurement standards in 45 CFR § 75.326 through § 75.340, or any subsequent amendments to these standards, and all additional provisions in this Agreement, including but not limited to a code of conduct for the award and administration of contracts and a procedure that provides, to the maximum extent practical, open and free competition.
- 4.19.2 *Eligible Bidders.* Contractor shall not permit any organizational conflicts of interest or noncompetitive practices that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective subcontractor performance

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and eliminate unfair competitive advantage, individuals, or firms that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contractor shall award any subcontract to the bidder or offeror whose bid or offer is responsive to the solicitation and is most advantageous to Contractor when considering price, quality, and other factors. Contractor's solicitations shall clearly set forth all requirements that the bidder or offeror shall fulfill in order for the bid or offer to be evaluated by the recipient.

- 4.19.3 Contractor assures that all supplies, materials, vehicles, equipment, or services purchased or leased with funds provided by this Agreement shall be used solely for the activities allowed under this Agreement, unless a fair market value for such use is charged to the benefiting program and credited to this Agreement.
- 4.19.4 Contractor shall provide for open and free competition and adequate cost analysis in all procurement transactions for each purchase order, lease, or subcontract for any articles, supplies, equipment, or services to be obtained from vendors or subcontractors.
- 4.19.5 *Non-Competitive Bid Justification.* If a service or product is of a unique nature, is in response to a public exigency or emergency, or more than one vendor/provider cannot reasonably be identified, Contractor shall maintain adequate justification for the absence of competitive bidding. "Adequate justification" must include, but is not limited to: (a) explanation of why the acquisition of goods or services is limited to one vendor or supplier; (b) description of sole vendor/supplier's unique qualifications to provide the goods or services in question; and (c) analysis of cost(s) to demonstrate reasonableness.
- 4.19.6 *CSD Lease/Purchase Pre-Approval Requirements.* To ensure that significant procurement transactions are conducted in an open and freely competitive manner, Contractor shall obtain prior written approval from CSD of capital expenditures for equipment with a unit cost of \$10,000 or more through the submission of a Request for Purchase/Lease Pre-Approval (form CSD 558) to CSD at least 15 calendar days prior to execution of the transaction. Transactions without CSD's prior written approval may be disallowed.
- 4.19.7 In all procurements, whether requiring CSD pre-approval or not, Contractor is solely responsible for maintenance of adequate procurement records demonstrating compliance with Federal and State requirements.
- 4.19.8 Noncompliance with any of the provisions in this section may result in a disallowance of the costs of the procurement transaction.

### 4.20 Use and Disposition of Vehicles and Equipment

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- 4.20.1 Use of CSBG-funded vehicles and equipment by other programs shall comply with Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.320 and § 75.439).
- 4.20.1.1 Vehicles and equipment purchased with CSBG funds must be used by Contractor in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by CSBG funds, and Contractor must not encumber the property without prior approval of CSD. When no longer needed for the original program or project, the equipment may be used in other activities supported by CSD, in the following order of priority: (a) activities under a Federal award from CSD; then (b) activities under Federal awards from other HHS awarding agencies.
- 4.20.1.2 During the time that equipment is used on the project or program for which it was acquired, Contractor must also make the equipment available for use on other projects or programs currently or previously supported by the Federal Government. User fees should be considered, if appropriate, in accordance with federal regulations.
- 4.20.1.3 Any user fees shall be treated as “program income” to the CSBG program, as described in 45 CFR § 75.307.
- 4.20.1.4 Contractor may be compensated for the use of its buildings, capital improvements, equipment and software projects capitalized in accordance with generally accepted accounting principles (GAAP), provided they are used, needed in Contractor’s program activities, and properly allocated to the CSBG grant program. Such compensation must be made by allocating and computing depreciation in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.436).
- 4.20.2 Contractor shall comply with all equipment management requirements outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.320 (d)), including, but not limited to: (a) property records; (b) physical inventory of the property; (c) a control system to prevent loss, damage, or theft; (d) adequate maintenance procedures; and (e) proper sale procedures.
- 4.20.3 *Sale or Disposition of CSBG-Funded Vehicles and Equipment.*
- 4.20.3.1 If/when Contractor’s CSBG program(s) no longer need(s) items of equipment with a current per unit fair market value of \$5,000 or less, the equipment may be retained, sold, or otherwise disposed in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75.320).

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- 4.20.3.2 Conflict of interest policies and proper sales procedures should be followed to ensure that the best possible value and sale price is realized.
- 4.20.3.3 Pursuant to 45 CFR 75.307(d), (*see also* 45 CFR § 75.2 “Program Income”), sale proceeds from the sale of real property, equipment, or supplies are not program income. Such proceeds will be handled in accordance with the requirements of Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards – *Subpart D–Post Federal Award Requirements* (including 45 CFR §§ 75.318, 75.320 and 75.321).

**4.21 Subcontracts**

- 4.21.1 Contractor may enter into subcontract(s) to perform part or all of the direct services covered under this Agreement. Prior to the commencement of subcontracted services under this Agreement, Contractor shall obtain board approval, to include but not be limited to, an assurance that the subcontractor agreement(s) shall comply with all terms, conditions, assurances, and certifications of this Agreement for the nonprofit and local governmental agencies performing services in the area(s) described in ARTICLE 1 - SCOPE OF WORK.
- 4.21.2 *Notification of Subcontract Execution.*
- 4.21.2.1 Contractor shall provide annual written notification to CSD within 60 calendar days of execution of each subcontractor agreement by completing the CSD 163 Subcontractor List (Form), which can be found on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.
- 4.21.2.2 This annual written notification shall also include a certification that, to the best of Contractor’s knowledge, the subcontractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency. For purposes of this certification of subcontractor eligibility, Contractor may rely on information provided via the Excluded Parties List System (EPLS), available at <https://www.sam.gov>.
- 4.21.2.3 If CSD determines that Contractor has executed a subcontract with an individual or entity listed as debarred, suspended, or otherwise ineligible on EPLS as of the effective start date of the subcontract, costs Contractor has incurred under the subcontract may be disallowed.
- 4.21.2.4 Contractor must ensure that funds expended pursuant to this Agreement are allowable and allocable and Contractor must adopt fiscal control and accounting procedures sufficient to enable the tracing of funds paid to any subcontractor to a level of expenditure adequate to establish that such funds have not been used in violation of this Agreement. Contractor shall ensure that any subcontracts under this Agreement

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contain all provisions necessary to ensure adequate substantiation and controls of the expenditure of such funds. Contractor may achieve this through detailed invoices, by periodic monitoring of subcontractor's program activities and fiscal accountability, by retaining a right of reasonable access to the subcontractor's books and records, or by any other method sufficient to meet the Contractor's responsibility to substantiate costs required by the Uniform Administrative Requirements, Cost Principles and Audit Requirements for HHS Awards (45 CFR Part 75, Subpart E – Cost Principles).

- 4.21.3 Contractor is solely responsible for performance of the terms, conditions, assurances, and certifications of this Agreement, without recourse to the State, regarding the settlement and satisfaction of all contractual and administrative issues arising out of subcontract agreement(s) entered into in support of this Agreement, including disputes, claims, or other matters of a contractual nature as well as civil liability arising out of negligence or intentional misconduct of the subcontractor(s).
- 4.21.4 Nothing contained in this Agreement shall create any contractual relation between CSD and any subcontractors, and no subcontract shall relieve the Contractor of its responsibilities and obligations hereunder. Contractor shall be liable for any acts and omissions of its subcontractors or of persons either directly or indirectly employed by subcontractors in violation of this Agreement. Contractor's obligation to pay subcontractor(s) is independent from CSD's obligation to make payments to Contractor. As a result, CSD shall have no obligation to pay or to enforce payment of any moneys to any subcontractor.
- 4.21.5 In the event CSD suspends, terminates, and/or makes changes to the services to be performed under this Agreement, Contractor shall notify all of its subcontractors in writing within five business days of receipt of notice of such action.

## ARTICLE 5 – PROGRAM BUDGET REQUIREMENTS AND PAYMENTS

### 5.1.1 Budget

- 5.1.1 Concurrent with the submission of this Agreement, Contractor shall complete and submit the CSBG Fiscal Data forms [CSBG Contract Budget Summary (CSD 425.S), CSBG Budget Support - Personnel Costs (CSD 425.1.1), CSBG Budget Support - Non-Personnel Costs (CSD 425.1.2), CSBG Budget Support - Other Agency Operating Funds (CSD 425.1.3), and Budget Narrative (CSD 425.1.4)] attached to this Agreement. Contractor must include an itemized list identifying all other funding sources and amounts that make up the total annual operating budget of the community action program(s). Notwithstanding any other provision of this paragraph, Contractor may submit the itemized list of other funding sources by either of the following methods: (a) completing the attached form (CSD 425.1.3); or (b) submitting an internal annual budget document displaying the funding sources and their anticipated revenues.

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5.1.2 Contractor shall submit the CSBG Contract Budget Narrative form (CSD 425.1.4) with a justification for each projected line item reported on the CSD 425.1.1 and CSD 425.1.2.

5.1.3 *Administrative Expenses.* For the purpose of administrative expenditures, and pursuant to Cal. Gov. Code § 12781(D), Contractor shall use funds allocated under this Agreement in an amount not to exceed 12 percent of the total operating budget of its community action program(s) only, including other agency funds used to support CSBG. Contractor shall not use funds provided under this Agreement to cover administrative costs incurred in the Low-Income Home Energy Assistance Program (LIHEAP) and the Low Income Household Water Assistance Program (LIHWAP) in excess of the LIHEAP and LIHWAP contractual limitations by the Contractor's agency.

The budgets of the Contractor's community action programs, not the budget of the organization or the organizational division to which the community action programs are assigned, shall be used in calculating the amount of allowable administrative expenditures under this subparagraph.

5.1.3.1 A qualifying community action program is defined by Cal. Gov. Code § 12750(b) as:

A "locally planned and operated program comprising a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem."

5.1.3.2 Community action programs typically:

5.1.3.2.1 Maintain a tripartite board of directors or advisory board, as defined in Cal. Gov. Code § 12751, which in the case of governmental entities, has operational jurisdiction and oversight or advisory responsibility, and

5.1.3.2.2 Serve the purposes and goals of the federal Community Services Block Grant Act, Section 672 (42 USC § 9901) and Cal. Gov. Code § 12750 with particular reference to the reduction of the causes and conditions of poverty and persistent economic insecurity.

5.1.4 For purposes of allocating indirect costs, contractors may use current negotiated indirect cost rates that have been approved by a cognizant federal agency. Contractor shall submit a copy of the letter of approval from the cognizant agency which includes date of approval and amount of rate. In the absence of a negotiated indirect cost rate, Contractor may elect to use a 10 percent de minimis indirect cost rate as permitted under 45 CFR § 75.414(f) and 2 CFR § 200.414(f).



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5.1.5 *Budget modifications require pre-approval by CSD. No originally approved budget line item may be increased or decreased by more than 10 percent (10%) without prior CSD approval. Contractor shall submit a CSD 425b, Justification for Contract Amendment/Modification and updated budget forms to request a budget modification.*

**5.2 Advance Payments – Amount**

- 5.2.1 Upon approval of all contract deliverables, CSD shall, in accordance with Cal. Gov. Code § 12781(b), issue an advance payment to Contractor in an amount not to exceed 25 percent of the maximum amount of this Agreement.
- 5.2.2 If HIIS does not initially make enough funds available for CSD to pay the advance amount in full, CSD shall provide that portion of the advance amount that is available and pay the remaining portion(s) as funds become available.
- 5.2.3 If HIIS fails to provide sufficient funds to pay the authorized advance amount during the first six months of the contract term, Contractor will not be entitled to additional advance payments thereafter.
- 5.2.4 If, during the first six months of the contract term, CSD amends this Agreement to increase the maximum amount, CSD shall advance up to 25 percent of the increase to Contractor.
- 5.2.5 Contractors who opt not to receive an advance payment must notify CSD in writing on agency letterhead. Written notification must be submitted with the contract.

**5.3 Advance Payments – Interest on Advances**

- 5.3.1 Contractor must deposit all advances in an interest-bearing account in accordance with 45 CFR § 75.305(b)(8), unless one or more of the following apply:
- 5.3.1.1 Contractor receives less than \$120,000 in Federal awards per year.
- 5.3.1.2 The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$500 per year on CSBG cash balances.
- 5.3.1.3 The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources.
- 5.3.2 Interest earned amounts up to \$500 may be retained by Contractor for administrative expenses. Any additional interest earned on CSBG advance payments deposited in interest-bearing accounts must be remitted annually to the U.S. Department of Health and Human Services at:

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HHS Program Support Center  
P. O. Box 979132  
St. Louis, MO 63197

When returning interest, the refund should include: an explanation stating that the refund is for interest, the name of the awarding agency (CSD), and the grant number for which the interest was earned.

### 5.4 Advance Payments – Liquidation of Advance

- 5.4.1 Contractor may liquidate the advance at any time through offsets against CSD-approved reimbursement requests; however, CSD shall initiate repayment of the advance through offsets of approved expenditures when the Contractor has expended 75 percent of the maximum amount of this Agreement.
- 5.4.2 CSD-initiated repayments of the advance shall be accomplished through offsets against subsequent reimbursement of approved expenditures. CSD shall determine the amount to be offset against reimbursements by dividing the unpaid advance amount by the number of remaining expenditure reporting periods in the contract term. In the event that an expenditure request for a reporting period is less than the offset amount as determined above, the entire amount of the expenditure reimbursement request shall be applied against the remaining advance balance.

### 5.5 Advance Payments – Lien Rights

The State retains lien rights on all funds advanced.

### 5.6 Payments

- 5.6.1 Upon approval of Contractor deliverables CSD shall issue payments (as specified by Contractor on the CSD 425.S) to Contractor upon receipt and approval of a certified CSBG Expenditure/Activity Report. The report shall indicate the actual expenditures being billed to CSD for reimbursement for the specific report period.
- 5.6.2 Subsequent payments to Contractor shall be contingent on receipt and approval by CSD of the preceding Expenditure/Activity Report. If Contractor owes CSD any outstanding balance(s) for overpayments of any Agreement, current or previous, the balance(s) may be offset after notice to the Contractor providing an opportunity to present any valid objection to the offset.

## ARTICLE 6 – FINANCIAL REPORTING

### 6.1 Fiscal Reports

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6.1.1 Contractor shall request reimbursement for expenditures associated with all contract activities by reporting in the Expenditure Activity Reporting System (EARS) in accordance with CPN-C-19-001, *CSBG Financial Reporting Policies and Procedures*, which is available online at the Local Agencies Portal at <https://agencies.csd.ca.gov/>.

6.1.2 Contractor shall submit adjustments in accordance with CPN-C-19-001.

**6.2 Close-Out Report**

6.2.1 Contractor shall complete and submit all CSD close-out forms when funds are 100 percent expended and according to the timelines below. The close out report must be submitted according to the following Period of Performance timeline:

- Period of Performance: January 1, 2022-December 31, 2022; Closeout due March 30, 2023 (90 calendar day closeout)
- Period of Performance: January 1, 2022-March 31, 2023; Closeout due June 30, 2023 (90 calendar day closeout)
- Period of Performance January 1, 2022-April 30, 2023; Closeout due June 30, 2023 (60 calendar day closeout)
- Period of Performance January 1, 2022-May 31, 2023; Closeout due June 30, 2023 (30 calendar day closeout)

6.2.2 The close-out report shall include the following forms: Close-Out Checklist and Certification of Documents Transmitted (CSD 715), Close-Out Program Income/Interest Earned Expenditure Report (CSD 715C), Close-Out Equipment Inventory Schedule (CSD 715D). The latest versions of the close-out forms are available on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.

6.2.3 All close-out forms must be submitted electronically via email to [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov).

6.2.4 Final expenditures must be submitted by entry into EARS by June 20, 2023.

6.2.5 All adjustments must be submitted in accordance with CPN-C-19-001.

6.2.6 Subsequent payments for expenditures under any open CSBG contract and the issuance of other CSD contracts shall be contingent upon timely submission of the closeout report.

6.2.7 If CSD grants Contractor a term extension, regardless of the extension period, Contractor must submit all required close-out documents, without exception, no later than June 30, 2023.

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- 6.3.1 In accordance with requirements of the Federal Funding Accountability and Transparency Act (FFATA), contractors that: (a) are not required by the IRS to annually file a Form 990 federal return; (b) receive at least 80 percent of their annual gross revenues from federal sources (excluding any ARRA funds); and (c) have annual gross revenues totaling \$25,000,000.00 or more from federal grants, contracts, or other federal sources (excluding any ARRA funds), shall provide to CSD a current list of names and total compensation of contractor's top five highly compensated officials/employees. The list shall be provided with the executed copy of the Agreement returned to CSD. This requirement applies only to contractors that fall within all three categories set forth in this paragraph.
- 6.3.2 Pursuant to the FFATA reporting requirements (2 CFR Part 170), CSD is required to report information regarding contractors (sub-awardees) receiving CSBG funds. Contractor must complete CSD Form 279, located on the Local Agencies Portal at <https://agencies.csd.ca.gov/>, and return with the signed contract to ensure compliance.
- 6.3.3 CSD may issue guidance and/or Amendment(s) to this Agreement, establishing additional reporting requirements as necessary to ensure compliance with the FFATA or other Federal and State regulations, as applicable.

**ARTICLE 7 – CSBG TERMS, CONDITIONS, PROGRAMMATIC PROVISIONS, AND REPORTING****7.1 Fair Hearing for Denial of Client Benefits by Contractor**

- 7.1.1 Pursuant to 22 Cal. Code Regs. § 100751, as amended, Contractor shall advise individuals who have been denied assistance under a program funded by this Agreement of their right to appeal to CSD for a fair hearing within 20 calendar days from the denial of assistance.
- 7.1.2 Within five business days of receipt of an appeal from a client, CSD's Fair Hearings Officer shall schedule an administrative hearing to be conducted no later than 30 calendar days from the receipt of the request.
- 7.1.3 The client may withdraw the appeal/request for fair hearing at any time during the appeal process by providing written, email, or telephonic notice to CSD. Telephonic notice of withdrawal must be confirmed in writing by the Fair Hearings Officer or designated CSD staff.

**7.2 Organizational Standards**

To maintain compliance with the Office of Community Services' *CSBG IM 138: State Establishment of Organizational Standards for CSBG Eligible Entities*, each Contractor shall submit the Organizational Standards annually utilizing the eGov ReportHub system no later than

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August 31st. Contractor shall have until January 31, 2023 to address modification requests from CSD and/or complete the technical assistance plan(s) for unmet standards in the 2022 Organizational Standards Assessment.

### 7.3 Programmatic Reporting

- 7.3.1 *Submission of Required Plans/Reports.* Unless otherwise specified by the provisions of this Article, all Community Action Plans and reports required by the provisions of this Article shall be submitted via email to [CSBG.Div@csd.ca.gov](mailto:CSBG.Div@csd.ca.gov), no later than the date specified.
- 7.3.2 *Community Action Plan.* Contractor shall submit a Community Action Plan meeting the requirements of Government Code § 12747 no later than June 30th of every odd year, unless/until otherwise instructed by CSD.
- 7.3.3 *CSBG Annual Work Plan Modules 3 and 4.* Annual programmatic work plan covers the proposed programmatic activities from January 1, 2022, through December 31, 2022. Contractor must complete and submit the CSBG Annual Work Plan CSD 641 form, and enter the Targets using Work Plan CSD 641A Module 3 Targets and or 641B Module 4 Targets as part of the contract deliverables. Required data for Module 3 and Module 4 will include selecting the appropriate CNPI(s) and or FNPI(s), entering the target, and entering the type of documentation the agency will use to verify the outcome has been met. The Annual Report projections for CY 2022 must be completed and submitted with the contract deliverables. A copy of the forms may be accessed on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.
- 7.3.4 *CSBG Annual Report Modules 2 through 4 and Agency Success Stories.* Annual programmatic reporting covers the programmatic activities from January 1, 2022, through December 31, 2022. As applicable, Modules 2 through 4 and Agency Success Stories must be completed and submitted in the eGov Reporting system no later than February 1, 2023. Access to the eGov system is available at: <https://cacsd.communitysoftwaregroup.com/CsgIdentity/Account/Login>.
- 7.3.5 Contractor shall be required to collect programmatic outcomes associated with services provided under an extended period of performance covering the period January 1, 2022 through the extended period of performance as specified on the STD 213. Contractor must submit the programmatic outcomes through this period in a supplemental report to CSD with the close out packet.

## ARTICLE 8 – COMPLIANCE POLICIES AND PROCEDURES

### 8.1 Right to Monitor, Audit, and Investigate

- 8.1.1 Any duly authorized representative of the federal or State government, which includes but is not limited to the State Auditor, CSD Staff, and any entity selected by CSD to perform inspections, shall have the right to monitor and audit

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Contractor and all subcontractors providing services under this Agreement through on-site inspections, audits, and other applicable means the State determines necessary.

- 8.1.2 Contractor shall make available all reasonable information necessary to substantiate that expenditures under this Agreement are allowable and allocable, including, but not limited to books, documents, papers, and records. Contractor shall agree to make such information available to the federal government, the State, or any of their duly authorized representatives including representatives of the entity selected by CSD to perform inspections, for examination, copying, or mechanical reproduction, on or off the premises of the appropriate entity upon a reasonable request.
- 8.1.3 Any duly authorized representative of the federal or State government shall have the right to undertake investigations in accordance with applicable federal and state requirements, with particular reference to 42 USC §§ 9914-9916, and 22 Cal. Code Regs. § 100730, as amended.
- 8.1.4 All agreements entered into by Contractor with audit firms for purposes of conducting independent audits under this Agreement shall contain a clause permitting any duly authorized representative of the federal or State government access to the working papers of said audit firm(s).

### **8.2 Compliance Monitoring – Contractor’s and CSD’s Shared Responsibilities for Federal Funds**

- 8.2.1 As the recipient of federal CSBG funds under this Agreement, Contractor is responsible for substantiating that all costs claimed under this Agreement are allowable and allocable under all applicable federal and State laws, and for tracing all costs to the level of expenditure.
- 8.2.2 As the State CSBG administrator, CSD must conduct onsite and follow-up monitoring, and other audits/reviews as necessary, to ensure that:
- 8.2.2.1 Contractor meets federal and state performance goals, administrative and financial management standards, and other requirements, including federal organizational standards, as discussed in Article 7.2, applicable to CSBG-funded programs; and
- 8.2.2.2 Funds allocated to Contractor are expended for the purposes identified in federal and State CSBG law for allowable and allocable costs in accordance with CFR requirements.
- 8.2.3. CSD shall provide Contractor reasonable advance written notice of on-site monitoring reviews of Contractor’s program or fiscal performance. Contractor shall cooperate with CSD program staff and other representatives, and provide access to all programs, records, documents, resources, personnel, inventory, and

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other things reasonably related to the administration and implementation of the services and activities funded directly or indirectly by this Agreement.

- 8.2.4 Except under certain conditions whereby advanced notice may not be feasible such as, a whistleblower or other investigation, CSD shall provide Contractor reasonable advance written notice of on-site audit of Contractor's program or fiscal performance. Contractor shall cooperate with CSD audits and other representatives, and provide access to all programs, records, documents, resources, personnel, inventory, and other things reasonably related to the administration and implementation of the services and activities funded directly or indirectly by this Agreement.
- 8.2.5 In the event CSD determines that Contractor is not in compliance with material or other legal requirements of this Agreement, CSD shall provide Contractor with observations, recommendations, and/or findings of noncompliance in writing, along with specific action plans for correcting the noncompliance. All noncompliance findings must be resolved by the mutually agreed upon corrective action timeframe.

### 8.3 Collection of Disallowed Costs

- 8.3.1 In the event questioned costs are identified in a final decision on cost disallowance issued by CSD, Contractor shall comply with any demand for repayment, as specified in such final report.
- 8.3.2 *Time for Response.* Contractor shall have no less than 30 calendar days from receipt of the final decision to tender payment to CSD or, alternatively, to provide CSD with complete and accurate information or documentary evidence in support of the allowability of questioned costs.
- 8.3.3 *Notice After Review of Further Supporting Evidence.* If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs as provided above in Article 8.3.2, CSD shall, after consideration of Contractor's submission, accordingly issue a revised Notice of Disallowed Costs, if any, no later than 30 calendar days after receipt of Contractor's information or documentation. Contractor shall have 15 calendar days from receipt of such Notice to tender payment or a repayment plan acceptable to CSD. In the alternative, Contractor may request a hearing in accordance with this Agreement, for CSD's final determination of disallowed costs.
- 8.3.4 All statements, notices, responses and demands issued in accordance with this Article 8.3 shall be in writing.
- 8.3.5 CSD may, at its discretion, reasonably extend the time periods allowed for responses specified in this Article 8.3.

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### 8.4 Auditing Standards

- 8.4.1 *Applicability.* The standards set forth in in 2 CFR § 200.500 et seq. are hereby incorporated by reference.
- 8.4.2 *Supplemental Audit Guide.* In addition to the applicable audit requirements specified in Article 8.4.1, Contractor must follow the most current CSD Supplemental Audit Guide, which is incorporated into this Agreement by reference and may be accessed on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.

### 8.5 Audit Reports

- 8.5.1 Funds provided under this Agreement shall be included in an audit conducted in accordance with the provisions of 2 CFR Subpart F – Audit Requirements §§ 200.500-521, standards promulgated by the American Institute of Certified Public Accountants (AICPA), and those standards included in “Government Auditing Standards,” December 2011 Revision, as amended, or the 2018 revision effective for financial audits, attestation engagements, and reviews of financial statements for periods ending on or after June 30, 2021.
- 8.5.2 *Organizations below audit threshold.* Contractors falling below the federal funding threshold, currently \$750,000, that mandates a single audit may be subject to an audit and/or other fiscal or program-specific review conducted by CSD or its agents, upon 30 calendar days written notice.
- 8.5.3 The financial and compliance audit report shall contain a Schedule of Expenditures of Federal Awards (SEFA) in accordance with 2 CFR § 200.510 (45 CFR § 75.510). All CSBG grants shall be reported separately on the SEFA, i.e., CSBG; Discretionary. In addition, a separate Supplemental Statement of Revenues and Expenditures (SSRE) for **each** contract whose **term ends** during the single-audit fiscal year shall be included in that year’s single audit. The SSRE shall report revenue and expenditures for CSD funding by contract line item and fiscal year. The SSRE shall cover the entire contract term as required in CSD’s Supplemental Audit Guide.
- 8.5.4 *Submission of Audit Reports.* Contractor shall submit to CSD one electronic copy of the required audit report(s) and any management letter(s) issued by the accountant, within the earlier of 30 calendar days after receipt of the auditor’s report, or nine months after the end of the Contractor’s fiscal year.
- 8.5.5 The audit report(s) and all supplemental financial information must be submitted to the following addresses:

One Electronic copy:

[audits@csd.ca.gov](mailto:audits@csd.ca.gov)



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Upon receipt of the audit report, CSD's Audit Services Unit (ASU) will send a confirmation email within five to ten calendar days. Contractor should verify receipt of ASU's confirmation email to ensure your single audit was received.

In accordance with the guidelines of the Division of Audits of the California State Controller's Office (SCO), if Contractor is a local government agency, additional copies of the audit report must be submitted to the following address:

State Controller's Office  
Division of Audits  
300 Capitol Mall, Fifth Floor  
Sacramento, CA 95814

### 8.6 Failure to Comply with Audit Requirements

- 8.6.1 In the event that Contractor fails to comply with the audit requirements under this Article, CSD, as appropriate in the circumstances, may take one or more of the following actions, provided in 45 CFR § 75.371 - § 75.375 "Remedies for Noncompliance": (a) temporarily withhold cash payments pending correction of the deficiency by Contractor or more severe enforcement action by CSD; (b) disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance; (c) wholly or partly suspend (suspension of award activities) or terminate the award; (d) recommend that suspension or debarment proceedings be initiated by the HHS awarding agency, as authorized under 2 CFR Part 180 and Federal awarding agency regulations at 2 CFR Part 376; (e) withhold further federal awards for the project or program; and (f) take other remedies that may be legally available.
- 8.6.2 *Collection of Disallowed Costs.* Contractor shall have no less than ten business days from receipt of the draft Audit Transmittal Report (TR) or comparable document to provide acceptance of the disallowed costs or, alternatively, to provide CSD with complete and accurate information or documentary evidence in support of the allowability of questioned costs.
- 8.6.3 If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs CSD shall, after consideration of Contractor's submission, issue a final TR, no later than 30 calendar days after receipt of Contractor's information or documentation. If questioned costs are determined to be owing, ASU shall notify CSD's Financial Services Unit (FSU) to send an invoice. Contractor will tender payment to FSU or negotiate a repayment plan acceptable to FSU.

### 8.7 Enforcement Actions Resulting from Noncompliance with this Agreement

- 8.7.1 *Legal Authority.* The authority for CSD Enforcement Actions, as defined in Article 8.7.2, for cost disallowances/recovery of misused funds, and for de-designation of eligible entity status (collectively "Enforcement Process") is

## SUBVENTION AGREEMENT

found in the federal CSBG Act (42 USC §§ 9901 et seq.), in the Code of Federal Regulations, and in state regulations, with particular reference to 22 Cal. Code Regs. § 100780. In order to facilitate compliance with the cited authorities, the parties to this Agreement agree that Article 8.7 shall: (a) guide, inform and clarify the Enforcement Process; (b) establish the procedures to be followed; and (c) establish the rights and obligations of the parties with respect to the Enforcement Process, for purposes of implementing the principles set out in the applicable legal authorities.

### 8.7.2 *Definitions.*

*Enforcement Action.* For purposes of this Article, “Enforcement Action” shall refer to official steps taken by CSD in response to material breaches of this Agreement and/or Contractor’s inability to fulfill contractual obligations of the Agreement due to serious financial instability or insolvency. Enforcement Actions may include any of the following: (a) “High-Risk” designation; (b) a determination of cost disallowance; (c) contract suspension; (d) contract termination; or (e) termination of Contractor’s designation as eligible entity.

*High Risk Designation* refers to the status of a Contractor which, due to material breach/failure to fulfill contractual obligations and/or serious financial instability, is subject to Enforcement Action(s) that may include imposition of Special Conditions and/or Sanctions designed to allow for continued performance of the Agreement within the conditions/sanctions imposed, or other actions deemed necessary to safeguard public funds.

*Material Breach* means any act or omission by Contractor that is in contravention or disregard of Contractor’s duties and obligations under the terms of this Agreement and under applicable State and federal law, which act or omission: (a) constitutes fraud or gross negligence by Contractor or its agent(s); (b) is likely to result in significant waste and/or abuse of federal funds; (c) has a significant adverse impact on Contractor’s ability to meet its administrative, financial, or programmatic duties and obligations over the term of the contract or a significant portion thereof; (d) violates or otherwise disregards significant program guidance and other requirements of the Federal Government, whether issued directly or through CSD; (e) may have serious adverse effects and consequences on the Contractor’s customers, employees, subcontractors, creditors, suppliers, vendors, or other stakeholders; or (f) may otherwise significantly and adversely affect the viability, effectiveness, or integrity of the program.

### 8.7.3 *Initiation of Enforcement Action.*

8.7.3.1 *Grounds for Enforcement Action.* If CSD determines that Contractor has not complied with the requirements of this Agreement and that Contractor’s noncompliance constitutes a material breach of the Agreement, or if CSD determines that Contractor’s financial condition is

## SUBVENTION AGREEMENT

so unstable and tenuous that its ability to implement this Agreement is seriously compromised, CSD may initiate an Enforcement Action.

8.7.3.2 *Notice of High-Risk Designation.* To initiate an Enforcement Action, CSD must provide Contractor with written Notice of High Risk designation, setting forth: (a) the factual and legal basis for the determination of noncompliance, upon which the High-Risk designation is based; (b) the corrective action(s) required; and (c) the date by which they must be taken and completed.

### 8.7.4 *Special Conditions and Sanctions.*

8.7.4.1 CSD may impose Special Conditions and/or Sanctions upon a determination that such steps are reasonably necessary to address acute financial instability or a material breach, as defined above. Imposition of Special Condition(s) and/or Sanction(s) shall be in writing and shall become effective on the date specified in the notice. Such notices must contain the following information: (a) the nature of the Special Condition(s) and/or Sanction(s) being imposed; (b) the reason(s) for imposing Special Condition(s) and/or Sanction(s); and (c) the corrective actions that must be taken and the time allowed for completing them before CSD removes the Special Condition(s) and/or Sanction(s).

8.7.4.2 Special Conditions may include, but are not limited to: (a) requiring Contractor to obtain training and/or technical assistance; (b) imposition of special or additional reporting requirements; (c) special or conditional cost reimbursement requirements and procedures; (d) provision of documentation by Contractor; and/or (e) requiring Contractor to amend or modify systems, procedures, and/or policies.

8.7.4.3 Sanctions may include but are not limited to: (a) suspension of advances and/or reimbursements; and/or (b) issuance of notices to suspend operations.

8.7.4.4 Sanctions may not be imposed without a hearing being first held in accordance with applicable regulations, *unless* CSD reasonably determines, based on credible information, that: (a) substantial sums to be paid to Contractor have been or will be used in violation of law or the provisions of this Agreement, and/or (b) associated costs are otherwise very likely to be disallowed; and (c) taxpayer dollars are at significant risk and are unlikely to be recovered if Sanctions are not immediately imposed.

### 8.7.5 *Procedures for Review of Special Conditions and/or Sanctions.*

8.7.5.1 If Contractor wishes to contest the imposition of Special Conditions and/or Sanctions, Contractor shall have five business days following receipt of a

**SUBVENTION AGREEMENT**

Notice of Enforcement Action in which to show cause, in writing, why the Special Conditions or Sanctions should not be imposed.

- 8.7.5.2 CSD shall have five business days following receipt of Contractor's response to accept or reject Contractor's objection and to state in writing the consequences of the decision and Contractor's obligations going forward, if any.
- 8.7.5.3 *Hearing.* Within five business days of receipt of a Notice of Enforcement Action, Contractor may request a hearing for the parties to consider the matters addressed in the Notice and to discuss alternative courses of action, which meeting CSD may agree to if, in its sole judgment, it determines that the meeting would be helpful to the process, can be held expeditiously, and will not cause undue delay or further jeopardize taxpayer dollars.
- 8.7.5.4 Contractor may, at any time, request in writing that CSD initiate the contract suspension or contract termination processes, to include the requisite hearings, as set out in applicable federal and State law, with particular reference to 22 Cal. Code Regs. § 100780.
- 8.7.5.5 Should Contractor fail to show cause as to why the Enforcement Action should not go forward, or should Contractor fail to request that CSD initiate either the contract suspension or termination processes, CSD may initiate such action at its own discretion.
- 8.7.5.6 Special Conditions and Sanctions shall remain in effect until the hearing procedure is completed, provided, with respect to sanctions, CSD reasonably determines that Article 8.7.5.3 applies.

8.7.6 *Enforcement Action Cost Disallowance.*

- 8.7.6.1 *Statement of Questioned Costs.* If CSD determines that Contractor's non-compliance has resulted in questioned costs, CSD shall provide Contractor with a Statement of Questioned Costs along with the Notice of Enforcement Action, or at such later time in the enforcement process as questioned costs are identified.
- 8.7.6.2 Statements of Questioned Costs shall include, at minimum: (a) particular item(s) of cost questioned and the specified amount(s) by type or category of costs; (b) factual basis for questioning costs, and the information and/or documentation required to justify payment of the costs; and (c) timeframe and procedures for Contractor's submission of the required information or documentation to CSD.
- 8.7.6.3 *Investigative Audits and Reports.* If CSD determines that more information is required before a Statement of Questioned Costs can be

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issued or before a final determination of cost disallowance can be made, CSD may conduct an investigative audit of Contractor's records, files and books of account, or retain an audit firm for such purpose. Contractor agrees to cooperate fully in any audit conducted and to ensure that Contractor's agents, accountants and subcontractors cooperate in the performance of such audit. A report of any audit conducted shall be shared with Contractor, who shall be given ample opportunity to respond to findings and to submit information and documentation in support of the response.

- 8.7.6.4 *Effect of Non-Cooperation with Investigative Audits.* If Contractor fails to cooperate in the conduct of an audit initiated pursuant to Article 8.7.6.3, CSD may: (a) impose sanctions as provided in article 8.7.4; and/or (b) issue a Notice of Disallowed Costs as determined appropriate.
- 8.7.6.5 *Notice of Disallowed Costs.* If CSD determines that further information and/or documentation provided by Contractor has not fully addressed or resolved any outstanding issues of questioned costs, CSD shall issue a Notice of Disallowed Costs, which notice shall include: (a) the amount of disallowed costs to be repaid, if any; and (b) the date by which repayment must be made or, in the alternative, (c) the date by which Contractor must submit a proposed repayment plan for consideration by CSD.
- 8.7.6.6 *Right to Dispute Notice.* Not later than five business days after receipt of a Notice of Disallowed Costs, Contractor may request a hearing disputing the Notice or statements made therein. The hearing shall be conducted in accordance with the procedures set out in 22 Cal. Code Regs. § 100780, for the purpose of adjudicating the matter of cost disallowance; however, either Contractor or CSD may opt to adjudicate other pending enforcement action matters, in a combined proceeding.
- 8.7.6.7 *Waiver of Right to Dispute.* If Contractor declines to request a hearing to adjudicate cost disallowance, or neglects to submit a request as provided in Article 8.7.6.6, the Notice of Disallowed Costs shall be deemed final and Contractor shall be obligated to comply with the requirements of the Notice.
- 8.7.6.8 Contractor will be deemed to have complied with a Notice of Disallowed Costs when CSD receives full repayment of outstanding disallowed amount(s), or when CSD formally approves a repayment plan. In reviewing Contractor's repayment plan, CSD shall take into consideration such factors as, but not limited to: (a) federal requirements or conditions applicable to the grant(s) under which the disallowed costs were funded; (b) the exigencies of the grant program and CSD's ability to reallocate the funds repaid or otherwise dispose of the funds in accordance with applicable law; (c) the risk of being unable to recover

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funding and the options for securing Contractor's repayment obligation; and (d) Contractor's financial condition and ability to pay.

- 8.7.7 *Removal of High-Risk Designation.* Contractor shall remain on High Risk until CSD reasonably determines that Contractor has complied with the requirements of the Notice of High Risk Designation, including verification by CSD that corrective measures have been implemented, that all conditions have been met and that disallowed costs have been repaid or, alternatively, that CSD has deemed Contractor's repayment plan to be acceptable and Contractor has demonstrated it is in compliance with the plan. Upon determination that Contractor has complied with the requirements of the Notice of High-Risk Designation, CSD shall give Contractor written notice of such determination.
- 8.7.8 *Further Enforcement Action.* In the event Contractor's non-compliance with the terms and conditions of this Agreement are not remedied through imposition of Special Conditions, and/or Sanctions, thereby enabling CSD to remove High Risk designation, CSD may initiate further Enforcement Actions involving Contract Suspension, Contract Termination and Termination of Contractor's designation as eligible entity, which shall be initiated and conducted in accordance with the applicable provisions found in 22 Cal. Code Regs. § 100780 and other applicable State and federal statutes and regulations.
- 8.7.9 *Contractor's Status During Federal Review Period.* The final decision with respect to any enforcement action which involves contract termination, cost disallowance, a denial of refunding, and/or de-designation of an eligible entity shall become effective upon completion of the applicable federal review, if initiated by Contractor, and in compliance with appeal requirements pursuant to Section 678C of the Community Services Block Grant Act, (42 USC § 9915), except that Special Conditions and Sanctions shall remain in force during the course of any federal review and appeal, and no new contracts or amendments will be executed during the federal review and appeal process.

**ARTICLE 9 – FEDERAL AND STATE POLICY PROVISIONS****9.1 Federal Certification Regarding Debarment, Suspension, and Related Matters**

- 9.1.1 Contractor hereby certifies to the best of its knowledge that it, any of its officers, and any subcontractor(s):
- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
  - b. Have not, within a three-year period preceding this Agreement, 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)

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transaction or contract under a public transaction; violation of federal or State antitrust statutes; commission of embezzlement, theft, forgery, or 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 Article 9.1.1; and
- d. Have not, within a three-year period preceding this Agreement, had one or more public (federal, state, or local) transactions terminated for cause or default.

9.1.2 If any of the above conditions are true for the Contractor, any of its officers, or any subcontractor(s), Contractor shall describe such condition(s) in writing and submit this information to CSD with the other forms Contractor must complete and return prior to CSD's execution of this Agreement. Based on the description, CSD in its discretion may decline to execute this Agreement or set further conditions of this Agreement. In the event any of the above conditions are true and not disclosed by Contractor, it shall be deemed a material breach of this Agreement, and CSD may terminate this Agreement for cause immediately pursuant to the termination provisions of State and federal law governing the CSBG program.

9.1.3 Contractor must certify in writing to the best of its knowledge that any subcontractor(s) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.

**9.2 Affirmative Action Compliance**

9.2.1 Each contractor or subcontractor with 50 or more employees and an agreement of \$50,000 or more shall be required to develop a written Affirmative Action Compliance Program.

9.2.2 The written Affirmative Action Compliance Program shall follow the guidelines set forth in 41 CFR § 60-1.40, §§ 60-2.10 through 60-2.32, and §§ 60-741.01 through 60-741.47.

9.2.3 Each contractor or subcontractor with less than 50 employees shall comply with Section 202 of Part II of Executive Order 11246, as amended by Executive Order 11375. Contractor shall ensure that subcontractors falling within the scope of this provision shall fully comply with the requirements thereof.

**9.3 Nondiscrimination Compliance**

9.3.1 Contractor's signature affixed hereon shall constitute a certification that to the

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best of its ability and knowledge will, unless exempted, comply with the nondiscrimination program requirements set forth in this section.

- 9.3.2 Contractor hereby certifies compliance with the following:
- a. Federal Executive Order 11246, as amended by Executive Order 11375, relating to equal employment opportunity;
  - b. Title VI and Title VII of the Civil Rights Act of 1964, as amended (42 USC §§ 2000d et seq. and 2000e et seq.);
  - c. Rehabilitation Act of 1973, as amended (29 USC §§ 701 et seq.);
  - d. Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended (41 CFR Subtitle B, Part 60-300);
  - e. Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor, as amended (41 CFR Chapter 60); and
  - f. Americans with Disabilities Act of 1990, as amended (Pub. L. 101-336; 42 USC §§ 12101 et seq.).

**9.4 Specific Assurances**

- 9.4.1 *Pro-Children Act of 1994.* This Agreement incorporates by reference all provisions set forth in Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994. Contractor further agrees that the above language will be included in any subcontracts that contain provisions for children's services and that all subcontractors shall certify compliance accordingly.
- 9.4.2 This Agreement incorporates by reference all provisions set forth in "Child Support Services and Referrals", under 42 USC § 9919(b).
- 9.4.3 *American-Made Equipment/Products.* Contractor shall assure, pursuant to Public Law 103-333, Section 507, to the extent practicable, that all equipment and products purchased with funds made available under this Agreement shall be American-made.
- 9.4.4 *Federal and State Occupational Safety and Health Statutes.* Contractor assures that it shall be in compliance with the provisions as set forth in Federal and State Occupational Safety and Health Statutes; the California Safe Drinking Water and Toxic Enforcement Act of 1986 (Health & Safety Code §§ 25249.5 et seq.); Universal Waste Rule (Hazardous Waste Management System: Modification of the Hazardous Waste Recycling Regulatory Program) (60 FR 25492, codified at 40 CFR Part 273); and California Workers' Compensation laws (Labor Code §§ 3200 et seq.).



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9.4.5 *Political Activities.* Contractor shall refrain from all political activities if such activities involve the use of any funds that are the subject of this Agreement. Contractor is prohibited from any activity that is designed to provide voters or prospective voters with transportation to the polls or to provide similar assistance in connection with an election if such activities involve the use of any funds that are subject to this Agreement.

9.4.6 *Lobbying Activities.* Contractor shall refrain from all lobbying activities if such activities involve the use of any funds that are the subject of this Agreement or any other fund, programs, projects, or activities that flow from this Agreement. If Contractor engages in lobbying activities, Contractor shall complete, sign and date the attached CERTIFICATION REGARDING LOBBYING/DISCLOSURE OF LOBBYING ACTIVITIES, as required by the U.S. Department of Health and Human Services under 45 CFR Part 93 (Appendix A).

**9.5 Commercial and Government Entity (CAGE) Identification Code and Data Universal Numbering System (DUNS) Requirements**

Contractor shall provide to CSD proof of an active nine-digit Data Universal Numbering System (DUNS) number and a five-character Commercial and Governmental Entity (CAGE) identification code as a prerequisite to execution of this Agreement. To obtain authentication of the CAGE and DUNS number, print and submit verification from the Systems for Award Management website at <https://www.sam.gov/portal/public/SAM/>.

**SUBVENTION AGREEMENT****DEFINITIONS**

All terms used in this Agreement shall be defined as stated in applicable federal and state statutes and regulations (42 USC § 9902; Cal. Gov. Code § 12730; 45 CFR Part 75 and 22 Cal. Code Regs. § 100601). The following terms shall be more specifically defined for purposes of this Agreement, insofar as the definition accords with federal and state law, as follows:

Agreement: The complete contents of this Agreement entered into by and between the CSD and Contractor, including all rights, duties, and obligations whether expressed or implied required toward the legal performance of the terms hereof, and including all documents expressly incorporated by reference.

Agreement Term: The timeframe of this Agreement as specified on the Agreement face sheet (STD 213) including the established Period of performance and an extended period granted upon approval to the Contractor by CSD.

Amendment: A formal change to the Agreement of a material nature including but not limited to the term, scope of work, or name change of one of the Parties, or a change of the maximum amount of this Agreement.

Authorized Agent: The duly authorized representative of the Board of Directors of Contractor, and the duly elected or appointed, qualified, and acting officer of the State. In the case of Contractor, the State shall be in receipt of a board resolution affirming the agent's representative capacity to bind Contractor to the terms of this Agreement.

Board of Directors: For the purposes of a private nonprofit Community Action Agency, Board of Directors refers to the tripartite board as mandated by 42 USC § 9910 and Government Code § 12751. For the purposes of a publicly governed Community Action Agency, Board of Directors refers to the tripartite advisory/ administering board that is mandated by 42 USC § 9910 and California Government Code § 12752.1 and established by the political subdivision or local government.

Community Action Agency: A public or private nonprofit agency that fulfills all requirements of Government Code § 12750.

Continuing Resolution: An appropriation act that provides budget authority for federal agencies, specific activities, or both to continue in operation when Congress and the President have not completed action on the regular appropriation acts by the beginning of the fiscal year.

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<u>Contractor:</u>	The entity (partnership, corporation, association, agency, or individual) designated on the face sheet (STD 213) of this Agreement.
<u>CSD:</u>	The State of California Department of Community Services and Development.
<u>Equipment:</u>	An article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-profit organization for financial statement purposes, or \$5000.
<u>Extended Period of Performance:</u>	An extension to the Period of Performance provided to Contractor upon approval if Contractor does not expect to complete award activities during the Period of Performance.
<u>Limited Purpose Agency (LPA):</u>	A community-based nonprofit organization without a tripartite board, as defined in California Government Code § 12775 and 42 USC § 9910(b)(2).
<u>Maximum Amount:</u>	The dollar amount reflected on line 3 of the face sheet (STD 213) of this Agreement.
<u>Modification:</u>	An immaterial change to this Agreement that does not require an Amendment.
<u>Native American Indian Program (NAI):</u>	A tribal or other Native American Indian organization in an urban or rural off-reservation area, as defined in Government Code § 12772, such as an Indian nonprofit organization, which meets the criteria of 'eligible entity' as defined in subdivision (g) of § 12730. An NAI may be considered a 'public organization' for purposes of tripartite board requirements or other mechanisms of governance in accordance with 42 USC § 9910(b)(2).
<u>Parties:</u>	CSID on behalf of the State of California, and the Contractor.
<u>Period of Performance:</u>	Time during which Contractor is expected to complete award activities and expend approved funds.
<u>Program:</u>	The Community Services Block Grant (CSBG) Program, 42 USC §§ 9901 et seq., as amended.
<u>State:</u>	The State of California Department of Community Services and Development.

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Subcontractor: An entity (partnership, tribe, corporation, association, agency, or individual) that enters into a separate contract or agreement with Contractor to fulfill direct program or administrative tasks in support of this Agreement.

Subcontract: A separate contract or agreement entered into by and between Contractor and Subcontractor to fulfill direct program or administrative tasks in support of this Agreement.

Total Allocation: The actual amount of funds available to Contractor under this Agreement, as calculated pursuant to Government Code § 12759 after CSD receives the notice of grant award for the full allocation based on the appropriation by Congress for the related federal fiscal year, and as publicly announced by CSD's Director or designee, subsequent to the execution of this Agreement.

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**TABLE OF FORMS AND ATTACHMENTS**

Forms (to be returned with signed Agreement):

- A. CSBG Contract Allocation Increase:
1. CSBG Contract Budget Summary (CSD 425.S);
  2. CSBG Budget Support Personnel Costs (CSD 425.1.1);
  3. CSBG Budget Support Non-Personnel Costs (CSD 425.1.2);
  4. CSBG Budget Support Other Agency Operating Funds (CSD 425.1.3);
  5. CSBG Contract Budget Narrative (CSD 425.1.4); and
  6. CSBG Annual Report Work Plan (CSD 641).

- B. CSBG Annual Work Plan Projections Modules 3 and 4 (CSD 641A and CSD 641B)

Annual programmatic work plan covers the proposed programmatic activities from January 1, 2022, through December 31, 2022. Contractor must complete and submit the CSBG Annual Work Plan CSD 641 form, and enter the Targets using Work Plan CSD 641A Module 3 Targets and or 641B Module 4 Targets. Required data for Module 3 and Module 4 will include selecting the appropriate CNPI(s) and or FNPI(s), entering the target, and providing the type of documentation the agency will use to verify the outcome has been met. The Annual Report projections for CY 2022 must be completed and submitted with the contract deliverables. All necessary forms may be accessed on the Local Agencies Portal at <https://agencies.csd.ca.gov/>.

- C. Certification Regarding Lobbying/Disclosure of Lobbying Activities
- D. California Contractor Certification Clauses (CCC 04/2017)
- E. CSD Federal Accountability and Transparency Act Report (CSD 279)
- F. Agency Staff and Board Roster (CSD 188)

The following documents are hereby incorporated by reference:

- Attachment A: 2022 CSBG Allocation Spreadsheet
- Attachment B: Supplemental Audit Guide

**DISASTER ONLY**

**CSBG BUDGET SUPPORT -- PERSONNEL COSTS**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: \$274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

**Section 10 -- ADMINISTRATIVE COSTS -- SALARIES AND WAGES**

A No. of Positions	B Position Title	C Total Salary for each position	D Percent (%) of CSBG time allocated for each position	E Number of CSBG months allocated for each position	F Total CSBG Funds budgeted for each position
<b>Sub-Total</b>					

**SECTION 20 -- PROGRAM COSTS -- SALARIES AND WAGES**

<b>Sub-Total</b>					

**FRINGE BENEFITS**

Enter description of Fringe Benefits. Please include the percentage of Salaries and Wages paid in Benefits. (Examples: FICA, SSI, Health Ins., Workers Comp. Etc.)	Percentage	Section 10 Administrative Costs List CSBG funds Budgeted Line 2	Section 20 Program Costs List CSBG funds Budgeted Line 2
<b>Sub-Total</b>			

Hit Alt & Enter at the same time to begin a new line or paragraph within the cell.		<b>Sub-Total</b>	
List of all Operating expenses:			
List all equipment purchase:			
List all contract/consultant services:			
List all subcontractor consultant services:			
Other costs:			
<b>Sub-Total</b>			
<b>TOTAL AMOUNT Will AUTOMATICALLY POPULATE TO CSD TO CSD 425.S (BUDGET SUMMARY)</b>			

State of California  
 DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 CSBG Budget Support -- Personnel Costs  
 CSD 425.1.1 (Rev. 11/21)

**CSBG BUDGET SUPPORT -- PERSONNEL COSTS**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: \$274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

**Section 10 -- ADMINISTRATIVE COSTS -- SALARIES AND WAGES**

<b>A</b> No. of Positions	<b>B</b> Position Title	<b>C</b> Total Salary for each position	<b>D</b> Percent (%) of CSBG time allocated for each position	<b>E</b> Number of CSBG months allocated for each position	<b>F</b> Total CSBG Funds budgeted for each position

**Total (must match Section 10: Administrative Costs line item 1 on the CSD 425.S Budget Summary form)**

**SECTION 20 -- PROGRAM COSTS -- SALARIES AND WAGES**


**Total (must match Section 20: Program Costs line item 1 on the CSD 425.S Budget Summary form)**

**FRINGE BENEFITS**

Enter description of Fringe Benefits. Please include the percentage of Salaries and Wages paid in Benefits. (Examples: FICA, SSI, Health Ins., Workers Comp. Etc.)	Percentage	Section 10 Administrative Costs <small>List CSBG funds Budgeted Line 2</small>	Section 20 Program Costs <small>List CSBG funds Budgeted Line 2</small>

**TOTAL MUST MATCH THE AMOUNT ENTERED ON CSD 425.S (BUDGET SUMMARY)**

**CSBG BUDGET SUPPORT -- PERSONNEL COSTS**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: \$274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

**Section 10 -- ADMINISTRATIVE COSTS -- SALARIES AND WAGES**

<b>A</b> No. of Positions	<b>B</b> Position Title	<b>C</b> Total Salary for each position	<b>D</b> Percent (%) of CSBG time allocated for each position	<b>E</b> Number of CSBG months allocated for each position	<b>F</b> Total CSBG Funds budgeted for each position
<b>Total (must match Section 10: Administrative Costs line item 1 on the CSD 425.S Budget Summary form)</b>					

**SECTION 20 -- PROGRAM COSTS -- SALARIES AND WAGES**

<b>Total (must match Section 20: Program Costs line item 1 on the CSD 425.S Budget Summary form)</b>					

**FRINGE BENEFITS**

Enter description of Fringe Benefits. Please include the percentage of Salaries and Wages paid in Benefits. (Examples: FICA, SSI, Health Ins., Workers Comp. Etc.)	Percentage	Section 10 Administrative Costs List CSBG funds Budgeted Line 2	Section 20 Program Costs List CSBG funds Budgeted Line 2
<b>TOTAL MUST MATCH THE AMOUNT ENTERED ON CSD 425.S (BUDGET SUMMARY)</b>			



**CSBG BUDGET SUPPORT -- PERSONNEL COSTS**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: \$274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

**Section 10 -- ADMINISTRATIVE COSTS -- SALARIES AND WAGES**

<u>A</u> No. of Positions	<u>B</u> Position Title	<u>C</u> Total Salary for each position	<u>D</u> Percent (%) of CSBG time allocated for each position	<u>E</u> Number of CSBG months allocated for each position	<u>F</u> Total CSBG Funds budgeted for each position
1	Manager of Community Services and Administration	\$164,482	8.00%	12	\$13,158.56
1	Senior Management Analyst	\$133,951	5.00%	12	\$6,697.55
1	Community Services Specialist III	\$133,951	6.00%	12	\$8,037.06
1	Accounting Office Specialist III	\$83,085	5.00%	12	\$4,154.25
1	Associate Management Analyst	\$119,587	5.00%	12	\$5,979.35
1	Associate Management Analyst	\$119,585	25.50%	12	\$30,494.18
<b>Total (must match Section 10: Administrative Costs line item 1 on the CSD 425.S Budget Summary form)</b>					\$68,521

**SECTION 20 -- PROGRAM COSTS -- SALARIES AND WAGES**

<b>Total (must match Section 20: Program Costs line item 1 on the CSD 425.S Budget Summary form)</b>					

**FRINGE BENEFITS**

Enter description of Fringe Benefits. Please include the percentage of Salaries and Wages paid in Benefits. (Examples: FICA, SSI, Health Ins., Workers Comp. Etc.)	Percentage	Section 10 Administrative Costs <small>List CSBG funds Budgeted Line 2</small>	Section 20 Program Costs <small>List CSBG funds Budgeted Line 2</small>
Insurance (Health, Dental, Life, Medicare)	24.00%	\$18,074.32	
Worker's Comp	2.00%	\$1,538.44	
Retirement Benefits	40.00%	\$24,689.91	
Miscellaneous	2.00%	\$1,378.33	
<b>TOTAL MUST MATCH THE AMOUNT ENTERED ON CSD 425.S (BUDGET SUMMARY)</b>		\$45,681	

State of California  
 DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 CSBG Contract Budget Summary  
 CSD 425.S (Rev.10/19)

### CSBG CONTRACT BUDGET SUMMARY

Contractor Name: Department of Community Services and Development		Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz		Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414		Contract Amount: \$274,202	
Date: 1/14/2022		E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	
SECTION 10: ADMINISTRATIVE COSTS			
Line Item			CSBG Funds (round to the nearest dollar)
1	Salaries and Wages		\$68,521.00
2	Fringe Benefits		\$45,681.00
3	Operating Expenses		
4	Equipment		
5	Out-of-State Travel		
6	Contract/Consultant Services		
7	Other Costs		
8	Disaster		
Subtotal Section 10: Administrative Costs (cannot exceed 12% of the total operating budget in Section 80)			\$114,202.00
SECTION 20: PROGRAM COSTS			
Line Item			CSBG Funds (round to the nearest dollar)
1	Salaries and Wages		
2	Fringe Benefits		
3	Operating Expenses		
4	Equipment		
5	Out-of-State Travel		
6	Subcontractor/Consultant Services		\$160,000.00
7	Other Costs		
8	Disaster		
Subtotal Section 20: Program Costs			\$160,000.00
<b>SECTION 40: Total CSBG Budget Amount (Sum of Subtotal Sections 10 and 20) Note: Total cannot exceed allocation amount.</b>			\$274,202.00
<b>SECTION 70: Enter Other Agency Operating Funds Used to Support CSBG</b>			\$1,432,011.00
<b>SECTION 80: Agency Total Operating Budget (Sum of Sections 40 and 70)</b>			\$1,706,213.00
<b>SECTION 90: CSBG Funds Administrative Percent (Section 10 divided by Section 80)</b>			6.69%

State of California  
 DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 CSBG Budget Support – Non Personnel Costs  
 CSD 425.1.2 (Rev. 10/19)

**CSBG BUDGET SUPPORT -- NON PERSONNEL COSTS**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: 274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

Hit Alt & Enter at the same time to begin a new line or paragraph within the cell.

LIST EACH LINE ITEM Totals must match CSD 425.S Budget Summary form Attach additional sheet(s) if necessary	CSBG	
	Section 10: Administrative Costs	Section 20: Program Costs
List all Operating Expenses	3 sum should equal total on line item 3 of CSD 425.S Budget Summary form	3 sum should equal total on line item 3 of CSD 425.S Budget Summary form
List all Equipment Purchases	4 sum should equal total on line item 4 of CSD 425.S Budget Summary form	4 sum should equal total on line item 4 of CSD 425.S Budget Summary form
List all Out-of-State Travel: Name of conference; Specify location; Cost per trip	5 sum should equal total on line item 5 of CSD 425.S Budget Summary form	5 sum should equal total on line item 5 of CSD 425.S Budget Summary form
List all Contract/Consultant Services	6 sum should equal total on line item 6 of CSD 425.S Budget Summary form	
List all Subcontractor/Consultant Services LifeLong Medical Care		6 sum should equal total on line item 6 of CSD 425.S Budget Summary form  \$160,000
<b>Other Costs - List each line item (i - iv): Any additional Other Costs (attach additional sheet if necessary):</b>	<b>Section 10: Administrative Costs</b>	<b>Section 20: Program Cost</b>
i		
ii		
iii		
iv		
<b>Total Other Costs (Sum of i, ii, iii, iv):</b>	7 sum should equal total on line item 7 of CSD 425.S Budget Summary form	7 sum should equal total on line item 7 of CSD 425.S Budget Summary form





**CSBG Contract Budget Narrative**

Contractor Name: Department of Community Services and Development	Contract Number: 22F-5001	Amendment Number: NA
Prepared By: Mary-Claire Katz	Contract Term: January 1, 2022 through May 31, 2023	
Telephone Number: 510-981-5414	Contract Amount: \$274,202	
Date: 1/14/2022	E-mail Address: <a href="mailto:mkatz@cityofberkeley.info">mkatz@cityofberkeley.info</a>	

**Budget Narrative**

Section 10 Total \$68,521, Salaries and Wages - Manager of Community Services and Administration: Serves as Executive Director of the Berkeley Community Action Agency and supervises the Associate Management Analyst. Responds to community requests for assistance, and oversees CSBG contract and reporting submissions, \$13,158.56; Community Services Specialist III provides assistance to the Associate Management Analyst in financial reports, \$8,037.06; Associate Management Analyst provides administrative support to the CSBG program, \$5,979.35; Associate Management Analyst completes program reports, completes biennial Community Action Plan, and monitors contracts of CSBG-funded partner agencies. Acts as secretary to the CSBG Tripartite Board (Human Welfare and Community Action Commission), \$30,494.18; Accounting Office Specialist III, provides financial support to the CSBG program; reviews all expenditures and prepares subcontractor payments, \$4,154.25; Senior Management Analyst provides support to CSSIII and AMA in implementing and reporting on CSBG-related activities, \$6,697.55. Insurance (Health, Dental, Life, Medicare): These costs support the medical benefits of the staff listed previously, \$18,074.32; Worker's Comp: These costs represent the cost of worker's compensation insurance for the staff listed previously, \$1,538.44; Retirement Benefits: These costs represent the cost of retirement benefits for the staff listed previously, \$24,689.91; Miscellaneous: These costs represent other benefits offered by the City of Berkeley (Berkeley Community Action Agency): disability insurance, retiree medical, medicare, misc. benefits, \$1,378.33. Section 20 Total Program Costs \$160,000, Subcontractor: LifeLong Medical Care will provide integrated primary care and behavioral health services to low-income, uninsured, and underinsured residents of Berkeley, \$160,000.

**ATTACHMENT 3**

Contract	Contract Number	CONTRACT END DATE	Component	Allocated	Expended	Remaining	Percentage Expended	Last EARS Report- Approved as of 11/16/23	Comments
2023 CS8G	23F-4001	5/31/2024	REGULAR	\$299,495.00	\$209,355.54	\$90,139.46	69.90%	OCT-2023	ADVANCE OWED: \$73,426.00
2023 CS8G	23F-4001	5/31/2024	AJ/DISC	\$12,807.00	\$0	\$12,807.00	0.00%	AUG-2023	2 MONTHS BEHIND IN REPORTING





State of California  
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
Training and Technical Assistance Referral  
CSD 332 (Rev.11.21)

**CSBG Training and Technical Assistance Referral**

**Referral Guidelines**

To refer an agency, please complete this form and return it along with a copy of any supporting documents, (i.e., emails, reference to monitoring finding/observation), to the CSD - CalCAPA Contract Manager.

Agencies being referred must be notified about the referral prior to submission of this form. They must also be made aware of the intent, purpose, and expected outcome of the referral. The agency contact should be provided a copy a copy of the referral form.

**Agency Contact Information**

Agency Name: Berkeley Community Action Agency Phone: (510) 981-5414  
Contact Name: Mary-Claire Katz E-Mail Address: mkatz@ci.berkeley.ca.us

**CSD Contact Information**

Name: Jennifer Milovina  
E-Mail Address: Jennifer.Milovina@csd.ca.gov  
Phone No: 916-594-2327

**Training/ Technical Assistance Request**

1. Provide a detailed description of the training/technical assistance requested.

The City of Berkeley currently has 8 board vacancies. Two of these vacancies are from 2017 and 2018. CSD is recommending CalCAPA assist Berkeley in any manner they can to find a better solution to fill not only the 2 long-term vacancies, but all 8 vacancies.

2. Indicate what type of training/technical assistance you believe would be most beneficial to the agency.

- Training
- Peer-to Peer
- Technical Assistance
- Resources/Materials

3. How was the training and technical assistance need identified?

- Monitoring - (Modified Monitoring Completed 2022)
- Agency Request
- Other – Explain

4. Is the training/technical assistance time sensitive? (i.e., needed in the next 30 days to assist the agency with addressing a monitoring finding)? Yes, CSD requests this assistance is received withing the next 30 days.

State of California  
 DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 Training and Technical Assistance Referral  
 CSD 332 (Rev.11.21)

Yes  
 No

5. If yes, indicate when the training should be completed by. 06 /30/2022

### Request/Submit Date(s)

Date Requested  
 by Agency (if  
 applicable):

N/A

Date Submitted to  
 CalCAPA:

5/27/2022

#### Coordination of Trainings/Technical Assistance:

*It is the responsibility of both the CSD Field Rep making the referral and CalCAPA to remain in communication throughout the referral and training/technical assistance process to ensure agency needs and requests are met and addressed in a timely manner.*

*Training/technical assistance follow-up will be conducted by both CalCAPA and CSD upon completion to identify if the training/technical assistance met the need, and if additional training is required.*

*CSD is to be notified of all scheduled training and technical assistance offered within 5 days prior to the training date.*

# ATTACHMENT 5

ATTACHMENT C



DAVID SCRIBNER  
DIRECTOR

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



GAVIN NEWSOM  
GOVERNOR

May 26, 2023

**VIA EMAIL TO:**

Margot Ernst, Executive Director  
[Mernst@cityofberkeley.info](mailto:Mernst@cityofberkeley.info)  
Health, Housing & Community Services Department  
2180 Milvia Street, 2<sup>nd</sup> Floor  
Berkeley, CA. 94704

**SUBJECT: CSD response to The City of Berkeley's Quarterly Vacancy update received 3-31-2023**

Dear Ms. Ernst,

This letter is in response to the City of Berkeley's corrective action update which was developed based on the issues identified in Monitoring Report #C-22-002, completed May 26, 2022.

CSD requires corrective action updates and progress reports, specifically board vacancy updates, to be submitted to CSD quarterly. Since the previous monitoring report from May 26, 2022, the most recent vacancy updates from Berkeley (received December 31, 2022, and March 31, 2023), did not include an updated CSD 188 Board Roster. In addition to vacancy reporting, the City of Berkeley is required to submit any changes to the board within 30 days of the change occurring, (CSBG Contract, Article 4.1).

Due to the number of vacancies in all sectors, and the inability to determine which vacancy is assigned to what sector, a formal request was submitted to CalCAPA on May 27, 2022, to provide Training and/or Technical Assistance to aide Berkeley's staff in fulfilling all contractual requirements from CSD. The CSD 188 board roster included in the contract packet from March 2023, indicates the following vacancies:

Sector	Date of Vacancy
Public	April, 2017
Public	October 2021
Private/Public (?)	December 2021
Private/Public(?)	January, 2022
Private/Public(?)	July 2022
Private/Public(?)	February 2023
Low-Income	November 2018
Low-Income	December 2020
Low-Income	October 2021
Low-Income	October 2021

Low-Income	December 2022
Low-Income	January 2023

During the COVID-19 pandemic, CSD acknowledged the increased difficulty experienced by agencies attempting to recruit board /council members. Board vacancies occurring during the period from March 2020 through December 2022, were documented, however, new corrective actions were assigned. CSD encouraged agencies to engage in recruitment activities to fill vacancies during this period and reminded all agencies regular monitoring practices would begin during the 2023 monitoring season.

The City of Berkeley failed to maintain compliance with the terms of Monitoring Report #C-22-002 the 2022 CSBG annual contract, CSBG Act 42 C.F.R §9910, California Government Code § 12752.1, and CSBG Contract Section 4.1.1.1. and Organization Standard 5.5.

Sections 676B of the Community Services Block Grant Reauthorization Act of 1998 requires that, as a condition of designation, private nonprofit entities and public organizations administer their CSBG program through tripartite boards that "fully participate in the development, planning, implementation, and evaluation of the program to serve low-income communities." Board members, especially those who reside in communities to be served and that represent low-income people, should be a primary source of information and insight concerning the conditions in their neighborhoods.

Your Tripartite board cannot and has not been operating in the manner with which a tripartite board is designed to operate for some time. Due to the lack of board members, CSD is concerned about the review and approval of the following upcoming requirements:

- Community Needs Assessment and Community Action Plan due June 30, 2023
- Review of upcoming Contract amendments, released May 15, 2023
- Submission/execution of 2023 Contract Amendment packet and deliverables, due June 30, 2023

To responsibly uphold the values and voices of the individuals and families of whom you serve through funding from the Community Services Block Grant and maintain compliance with all applicable laws and regulations, The City of Berkeley must have an effectively functioning tripartite board.

The Department of Community Services and Development is requiring The City of Berkeley to work with CalCAPA to develop a formal plan to address and resolve the following:

- 1) Recruitment and establishment of Board members in accordance with their bylaws to meet the Tripartite Governance requirement.
- 2) Clearly identify the required Board Sectors on future submissions of the CSD 188 Board Roster; (Private, Public and Low-Income)

This plan must be submitted for review and approval by CSD no later than June 19, 2023.

Failure to submit a formal plan by the required due date will result in escalation and could potentially put your agency at risk for additional corrective action.

Should you require any further information about this matter, please contact Jennifer Milovina at (916) 594-2327 or [jennifer.milovina@csd.ca.gov](mailto:jennifer.milovina@csd.ca.gov).

Sincerely,

Wilmer Brown, Jr.

Mgr. CSBG Field Operations Unit





Health, Housing, and  
Community Services Department  
Housing & Community Services Division

June 19, 2023

Wilmer Brown, Jr., Mgr. CSBG Field Operations Unit  
California Department of Community Services and Development  
2389 Gateway Oaks Drive, Suite 100  
Sacramento, CA 95833

**Subject: Re: CSD response to The City of Berkeley's Quarterly Vacancy update  
received 3-31-2023**

Dear Mr. Brown,

Thank you for your letter. Please see below for actions recently taken, and the plan for future actions, to maintain compliance with all applicable Community Services Block Grant laws and regulations. Specifically, these actions address challenges with recruitment and the establishment of Board members in accordance with Berkeley Community Action Agency's (BCAA) bylaws to meet the Tripartite Governance requirement, and identifying the required Board Sectors on future submissions of the CSD 188 Board Roster. This plan was developed in collaboration with CalCAPA.

#### **ACTIONS RECENTLY TAKEN**

*Date – April 28, 2023*

BCAA staff and commission chair met and consulted with staff from CalCAPA to develop a plan on how to best address board vacancies and clearly identify the required Board Sectors on future submissions of the CSD 188 Board Roster.

*Date – May 15, 2023*

BCAA staff, CalCAPA staff, and the chair of the BCAA Advisory Board met and discussed the importance of filling the Board vacancies as soon as possible.

#### **REMEDIATION PLAN**

**GOAL: RECRUITMENT AND ESTABLISHMENT OF BOARD MEMBERS IN ACCORDANCE WITH THEIR BYLAWS TO MEET THE TRIPARTITE GOVERNANCE REQUIREMENT.**

*A Vibrant and Healthy Berkeley for All*

2180 Milvia Street, 2<sup>nd</sup> Floor, Berkeley, CA 94704 Tel: 510.981.5400 TDD: 510.981.6903 Fax: 510.981.5450  
E-mail: [HHCS@berkeleyca.gov](mailto:HHCS@berkeleyca.gov)

HWCAC, 3/6/24, pg. 119 of 158

Wilmer Brown, Jr., Mgr. CSBG Field Operations Unit  
 June 19, 2023  
 Page 2 of 4

## 1) Challenge – Filling Low-Income vacancies on the HWCAC.

A) *Cause* – Current bylaws restrict nominations to low-income districts, resulting in few candidates willing and able to serve.

*Proposed Solution* – (Contingent on Advisory Board's and Council's input) Revise bylaws to eliminate low-income districts and allow low-income representatives to reside anywhere within the City, as long as they are persons chosen in accordance with democratic selection procedures outlined in regulations promulgated by the department to assure that the low-income elected are either low-income and/or reside in the City.

### Action Steps

1. Action: BCAA staff to work with current Advisory Board to revise the bylaws.

Dates: July 19<sup>th</sup> and September 20<sup>th</sup> Human Welfare and Community Action (HWCAC) regular commission meetings.

*If Advisory Board agrees to changes:*

2. Action: BCAA staff to send proposed bylaw changes to CalCAPA for their review

Due: September 25, 2023

3. Action: BCAA staff and Advisory Board to finalize bylaws for proposed adoption by City Council.

Due: The next regular HWCAC commission meeting after receiving feedback from CalCAPA

4. Action: City Council to consider revised bylaws for recommended adoption.

Due: 6 weeks after step 3 is complete.

Note: Process for getting items on Council agenda, takes about six weeks after first draft of item (i.e. final proposed bylaw changes) is submitted for review.

B) *Cause* – Lack of outreach to Low-Income persons residing within the City of Berkeley

*Proposed Solution* - Develop relationships with area nonprofits, such as Head Start, to identify Low-Income representatives.

### Action Steps

Action: BCAA staff to develop list of appropriate agencies to contact



Wimer Brown, Jr., Mgr. CSBG Field Operations Unit  
 June 19, 2023  
 Page 3 of 4

Due: June 23, 2023

Action: BCAA staff to meet with agencies and develop plan for outreach

Due: July 10, 2023 to September 29, 2023

Note: Due to people's limited availability during the summer months, we're providing a range of dates for when we anticipate the meetings to take place.

## 2) Challenge - Public Sector vacancies on Board.

*Cause* – City Council not appointing representatives.

*Proposed Solution* – City Manager and CalCAPA to send letter to City Council asking them to appoint representatives as soon as possible.

### Action Steps

Action: City Manager to send letter to City Council.

Due: July 3, 2023

Action: CalCAPA to send letter to City Council

Due: July 3, 2023

## 3) Challenge –Private sector vacancies.

*Cause* - Lack of clarity in bylaws in distinction between Public and Private representation.

*Proposed Solution:* Revise bylaws to clarify this distinction.

### Action Steps

1. Action: BCAA staff to work with current Advisory Board to revise the bylaws.

Dates: July 19<sup>th</sup> and September 20<sup>th</sup> Human Welfare and Community Action (HWCAC) regular commission meetings.

*If Advisory Board agrees to changes:*

2. Action: BCAA staff to send proposed bylaw changes to CalCAPA for their review

Due: September 25, 2023

3. Action: BCAA staff and Advisory Board to finalize bylaws for proposed adoption by City Council.

Due: The next regular HWCAC commission meeting after receiving feedback from CalCAPA

Wilmer Brown, Jr., Mgr. CSBG Field Operations Unit  
June 19, 2023  
Page 4 of 4

4. Action: City Council to consider revised bylaws for recommended adoption.

Due: 6 weeks after step 3 is complete.

Note: Process for getting items on Council agenda, takes about six weeks after first draft of item (i.e. final proposed bylaw changes) is submitted for review.

**GOAL: CLEARLY IDENTIFY THE REQUIRED BOARD SECTORS ON FUTURE SUBMISSIONS OF THE CSD 188 BOARD ROSTER.**

*See Challenge #3 for Goal: Recruitment and establishment of Board members in accordance with their bylaws to meet the Tripartite Governance requirement.*

We will continuously monitor for progress towards these goals and inform CSD of any additional challenges BCAA may encounter in attempting to reach these goals, accompanied by plans to address them.

Sincerely,



Margot Ernst, Manager  
Housing & Community Services Division

cc:

Jennifer Milovina, Associate Governmental Program Analyst, California Department of Community Services and Development

Mary-Claire Katz, Associate Management Analyst, City of Berkeley

Joshua Oehler, Community Services Specialist III, City of Berkeley

David Knight, Executive Director, California Community Action Partnership Association

Lawrence Hiner, Director of Training & Technical Assistance, California Community Action Partnership Association

# ATTACHMENT 7

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 Agency Staff and Board Roster  
 CSD 188 (Rev 08/2016)

## Agency Staff and Board Roster

Programs Administered: CSBG  Energy

Agency Name:	Berkeley Community Action Agency	Contact Email Address:	MKatz@cityofberkeley.info
Contact Person:	Mary-Claire Katz	Date Submitted:	11/1/23
Contact Phone Number:	510-981-5414	Total Number of Board Seats:	15

List the name of each program manager for CSBG and Energy Programs. If there is more than one manager please list them as well i.e. Utility Assistance Program Manager.

This document must be updated within 30 days of any changes to the Executive Director, Program Manager, Chief Financial Officer and board roster.

### Agency Key Staff

Name	Title/Position (include date of vacancy if applicable)	Address	Phone Number	Email
1 Margot Ernst	Executive Director	Health, Housing & Community Services Department, 2180 Milvia Street, 2nd Floor, Berkeley CA 94704	510.981.5427	MErnst@cityofberkeley.info
2 Dee Williams-Ridley	Additional Authorized signer of the Contract	Health, Housing & Community Services Department, 2180 Milvia Street, 2nd Floor, Berkeley CA 94704	510.981.7000	manager@cityofberkeley.info
3	Chief Financial Officer			
4	CSBG Program Manager			
5	Weatherization Program Manager			
6	Utility Assistance Program Manager			
7	Other			

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 Executive Director and Board Roster  
 CSD 188 (Rev 08/2016)

List the name of each board member and identify any board vacancies. In the "Title/Position" field identify the date the seat became vacant and specify the sector represented in the "Sector" field.

Sector: Please indicate P=Public, PR= Private, L= Low Income (Energy only agencies are not required to identify the sector.)

Board Roster

	Name	Title/Position (Include date of vacancy if applicable)	Address	Sector	Phone Number	Email
1	Vacant, April 2017	Mayor		Pr		
2	Vacant, 1/19/22			Pr		
3	Vacant, 2/17/23			Pr		
4	Mary Behm-Steinberg	Chair	1447 Kains Avenue Berkeley, CA 94702	P		marybehmsteinberg@gmail.com
5	Vacant, 7/21/22			P		
6	Vacant, 10/20/21			Pr		
7	Vacant, 10/2/23			P		
8	Vacant, 12/31/21			P		

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 Executive Director and Board Roster  
 CSD 188 (Rev 08/2016)

	Name	Title/Position (Include date of vacancy if applicable)	Address	Sector	Phone Number	Email
9	Vacant, 2/10/23			P		
10	Vacant, 12/19/22			L		
11	Vacant, 1/30/23			L		
12	Vacant, 12/2020			L		
13	Vacant, 11/2018			L		
14	Vacant, 10/3/21			L		
15	Vacant, 10/21/21			L		
16						
17						
18						
19						

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
 Executive Director and Board Roster  
 CSD 188 (Rev 09/2016)

	Name	Title/Position (include date of vacancy if applicable)	Address	Sector	Phone Number	Email
20						
21						
22						
23						
24						
25						
26						
27						
28						
29						
30						

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
Executive Director and Board Roster  
CSD 188 (Rev 08/2016)

Instructions: Agency Staff and Board Roster (CSD 188)

- Agency Name: Legal entity title as stated on Federal Tax ID Form (STD 204)
- Contact Person: Name, phone number and email of person completing the form
- Programs Administered: Please check each box that applies. For example, if your agency administers both CSBG and Energy, please check both boxes; however, if your agency administers one, check the applicable program box.
- Date Submitted: Enter the date the Agency Staff and Board Roster (CSD 188) form is submitted to CSD.
- Total Number of Board Seats: Enter the total number of Board seats required under your agency Bylaws.

Table 1: Agency Staff

Chief Financial Officer and Program Manager(s) Information: Enter the Chief Financial Officers and Program Manager's information, as well as the executive director's information. If applicable, enter the name of the additional authorized signer of the contract. If applicable, enter additional managers if your Agency has a Program Manager for CSBG, Weatherization or Utility Assistance. For each agency staff provide an address and a contact phone number.

Table 2: Board Roster  
Board Member Information:

Enter the current Board Chair and board member names, title and sector\*. For each board member provide an address other than the Agency's and a contact phone number for each member.

Agency must submit any changes/updates to the Executive Director, Chief Financial Officer, Program Managers and Board Roster (CSD 188) within thirty days of such occurrence(s). The updated form identifying the changes should be submitted electronically to the Contract Services Unit at:

[contracts2@cso.ca.gov](mailto:contracts2@cso.ca.gov)

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**City of Berkeley  
Community Agency  
CLIENT CHARACTERISTICS REPORT**

Contract No: N

Agency: [Multicultural Institute \(MI\)](#)  
 Program: [Lifeskills Program](#)  
 Phone: [848-4075, ext. 305](#)

Period of: **1st Half 2024**  
 Report Prepared By: [Mirna Cervantes](#)  
 E-mail: [mirna@mionline.org](mailto:mirna@mionline.org)

**1. CLIENT SUMMARY - 1st Half**

	1st Half	YTD
A. Total New Clients Served by the Program (Berkeley and Non-Berkeley)	831	831
B. Total New Berkeley Clients Served for Whom You Were Able to Gather Statistics on Age, Race/Ethnicity, and Income:	664	664
C. Total New Berkeley Clients Served for Whom You Were <b>NOT</b> Able to Gather Statistics on Age, Race/Ethnicity, and Income:	0	0
D. Total New Berkeley Clients Served:	664	664

**2. DEMOGRAPHIC DATA**

RACE - Unduplicated Count	Previous Periods		Report Period		Year-To-Date	
	Non-Hispanic	Hispanic Ethnicity	Non-Hispanic	Hispanic Ethnicity?	Non-Hispanic	Hispanic Ethnicity
Single Race Categories						
American Indian/Alaskan Native	0	0			0	0
Asian	0	0	30		30	0
Black/African American	0	0	25		25	0
Native Hawaiian/Pacific Islander	0	0			0	0
White	0	0	15	221	15	221
Combined Race Categories						
American Indian/Alaskan Native & White	0	0			0	0
Asian & White	0	0			0	0
Black/African American & White	0	0			0	0
American Indian/Alaskan Native & Black/African American	0	0			0	0
Other Combined Race Categories	0	0	3	370	3	370
<b>TOTALS</b>	0	0	73	591	73	591
<b>TOTAL SERVED</b>	0		664		664	

**3. INCOME LEVEL**

Income Level - Unduplicated Count	Previous Periods	This Period	YTD
Poverty	0	20	20
Poverty to 30% of AMI (Ex. Low)	0	363	363
31-50% of AMI (Low)	0	281	281
51-80% of AMI (Moderate)	0		0
Above 80% of AMI	0		0
<b>TOTALS</b>	0	664	664

**4. AGE**

Age - Unduplicated Count	Previous Periods	This Period	YTD
0-5	0		0
6-11	0	1	1
12-17	0	2	2
18-24	0	57	57
25-44	0	273	273
45-54	0	142	142
55-61	0	70	70
62 and Over	0	84	84
Unknown	0	35	35
<b>TOTALS</b>	0	664	664



**5. OTHER CHARACTERISTICS**

Other Characteristics - Unduplicated Count	Previous Periods	This Period	YTD
Female	0	237	237
Male	0	410	410
Other		17	
Disabled	0		0
Homeless	0	12	12
Chronically Homeless	0	8	8

**6. SERVICE MEASURES**

Service Measures	Annual Goal		1st Half		2nd Half		Served YTD		% Served		Total Clients
	UOS	New Clients	UOS	New Clients	UOS	# of Existing Clients	New Clients	Total UOS	Total New Clients	UOS	
**** Other Services ****											
1 Educational/Training Workshops	10	250	12	424				12	424	120%	170%
2 Days of Work	300	250	140	140				140	140	47%	56%
3 Community Service Days	12	120	5	132				5	132	42%	110%
4 Newsletter	4	600	2	280				2	280	50%	47%

**1st Half Narrative**

Focus was put on job placement assistance confirming a total of 140 placements to fair wage jobs confirmed at a minimum of \$25 per hour and 3 hours minimum. Many of the workers now have a stable job. For instance, F. Ramos, a day laborer for many years came to MI with an interest in applying to companies. Staff helped F. Ramos apply for an agency and as of August 2023, he is working full-time as an Apartment Maintenance Technician. Throughout the year, MI also hosted several community events such as the Day Laborer Appreciation Day, Volunteer Appreciation Day, Thanksgiving Basket Distribution with 185 households receiving a basket, and Navidad Jornalera (Day Laborer Christmas Event) with 92 day laborers receiving hot meals and gifts. Each of these events have allowed us to reach even more individuals within the community. Staff has seen new individuals becoming curious about the work MI does and many return to ask for information on services. These events help engage the community.

**7. OUTCOMES**

Outcomes	Annual Goal	1st Half Achieved Outcome	2nd Half Achieved Outcome	Achieved Outcome YTD	% Achieved Outcome of Annual Goal	% Achieved Outcome of Total Served
1 Participants achieved enhanced skills or knowledge	250	424		424	170%	64%
2 Number of clients placed in jobs	250	140		140	56%	21%
3 Reduction in number of neighbor complaints	0	0		0		0%
4 Participants and neighbors increased knowledge of agency services	600	280		280	47%	42%

**1st Half Narrative**

The program's education and outreach led to high participation in workshops and high number of referrals. 12 life skills workshops were conducted on the street corners and in the classroom setting with a total of 424 participants. The topics included wage theft, workers' rights, fraud, immigration remedies and tenant rights. Health topics included sexual harassment, disaster preparedness, and COVID. These workshops resulted in 233 immigration/legal referrals and 316 health referrals. Additionally, street clean up was hosted, MI's monthly mobile health clinic, and monthly dental clinics were held thanks to longstanding partnership with Alameda Health System. The GED and Business Entrepreneurship courses were held in Spanish and worker meetings were held every other week where workers attend trainings and workshops.

**Uploaded Attachments: 8. PROGRAM SATISFACTION SURVEY**

Question	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Does Not Apply	I Do Not Understand This Question	Total Number of responses

1. I am satisfied with the services I have received from this program.	This Period				371			ATTACHMENT D	371
	Prior Periods								0
	Total	0	0	0	371	0	0	0	371
	% of Total	0%	0%	0%	100%	0%	0%	0%	100%
2. This program's staff treated me with respect.	This Period				371				371
	Prior Periods								0
	Total	0	0	0	371	0	0	0	371
	% of Total	0%	0%	0%	100%	0%	0%	0%	100%
3. This program helped me make progress towards my goals.	This Period				371				371
	Prior Periods								0
	Total	0	0	0	371	0	0	0	371
	% of Total	0%	0%	0%	100%	0%	0%	0%	100%
4. This program met my needs.	This Period				371				371
	Prior Periods								0
	Total	0	0	0	371	0	0	0	371
	% of Total	0%	0%	0%	100%	0%	0%	0%	100%

Additional Questions:

5. Additional comments from consumers completing the survey	
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Date Signed 02/01/2024

Approved By Mary-Claire Katz  
Date Signed 02/15/2024

Initially submitted: Feb 1, 2024 - 18:44:26

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**CITY OF BERKELEY  
COMMUNITY AGENCY STATEMENT OF EXPENSE  
10/01/2023 TO 12/31/2023**

Note: Any variation from the Approved Budget exceeding ten percent (10%) requires a Budget Modification Form.

Agency Name: **Multicultural Institute (MI)**

Contract #:

Program Name: **Lifeskills Program**

PO #:

Funding Source : **General Fund**

Expenditure Category	Staff Name	Approved Budget	Jul-Sep 2023	Oct-Dec 2023	Jan-Mar 2024	Apr-Jun 2024	Total Expenditure	Budget Balance
Day Laborer Director	Jose Gracia-Clavel	\$29,500.00	\$6,943.68	\$8,147.84			\$15,091.52	\$14,408.48
Communication & Engagement Associate	Eduardo Rosas	\$21,968.00	\$6,596.77	\$4,609.99			\$11,206.76	\$10,761.24
Accountant	Phurbu Tsewang	\$5,032.00	\$957.62	\$1,170.18			\$2,127.80	\$2,904.20
Taxes/Benefits		\$5,236.00	\$1,527.12	\$1,275.44			\$2,802.56	\$2,433.44
Program Expense		\$400.00	\$246.13	\$10.00			\$256.13	\$143.87
Occupancy		\$1,500.00	\$344.00	\$317.00			\$661.00	\$839.00
Telephone		\$1,800.00	\$423.00	\$326.00			\$749.00	\$1,051.00
Liability Insurance		\$1,600.00	\$440.00	\$540.00			\$980.00	\$620.00
Printing & Copying		\$500.00	\$163.00	\$285.00			\$448.00	\$52.00
Audit Fees		\$600.00					\$0.00	\$600.00
<b>TOTAL</b>		<b>\$68,136.00</b>	<b>\$17,641.32</b>	<b>\$16,681.45</b>			<b>\$34,322.77</b>	<b>\$33,813.23</b>

Advances Received **\$17,034.00**  
Underspent/(Overspent) **(-\$17,288.77)**

**Total Current Year (FY 23) Allocation**

Expenditure Category	Staff Name	Approved Budget	Jul-Sep 2023	Oct-Dec 2023	Jan-Mar 2024	Apr-Jun 2024	Total Expenditure	Budget Balance
Accountant	Phurbu Tsewang	\$5,032.00	\$957.62	\$1,170.18				\$5,032.00
Audit Fees		\$600.00						\$600.00
Communication & Engagement Associate	Eduardo Rosas	\$21,968.00	\$6,596.77	\$4,609.99				\$21,968.00
Day Laborer Director	Jose Gracia-Clavel	\$29,500.00	\$6,943.68	\$8,147.84				\$29,500.00
Liability Insurance		\$1,600.00	\$440.00	\$540.00				\$1,600.00
Occupancy		\$1,500.00	\$344.00	\$317.00				\$1,500.00
Printing & Copying		\$500.00	\$163.00	\$285.00				\$500.00
Program Expense		\$400.00	\$246.13	\$10.00				\$400.00
Taxes/Benefits		\$5,236.00	\$1,527.12	\$1,275.44				\$5,236.00
Telephone		\$1,800.00	\$423.00	\$326.00				\$1,800.00
<b>TOTAL</b>		<b>\$68,136.00</b>	<b>\$16,681.45</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$68,136.00</b>	<b>\$0.00</b>

**Total Carryover (FY 22) Allocation**

Expenditure Category	Staff Name	Approved Budget	Jul-Sep 2023	Oct-Dec 2023	Jan-Mar 2024	Apr-Jun 2024	Total Expenditure	Budget Balance
								\$0.00
<b>TOTAL</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

Explain any staffing changes and/or spending anomalies that do not require a budget modification at this time:

Upload of Resumes for New Staff (required):

- Expenditures reported in this statement are in accordance with our contract agreement and are taken from our books of account which are supported by source documentation.
- All federal and state taxes withheld from employees for this reporting period were remitted to the appropriate government agencies. Furthermore, the employer's share or contributions for Social Security, Medicare, Unemployment and State Disability insurance, and any related government contribution required were remitted as well.

Prepared By: [Phurbu Tsewang](#)

Email: [phurbu@mionline.org](mailto:phurbu@mionline.org)

Date: [02/12/2024](#)

Authorized By: [Mirna Cervantes](#)

Email: [mirna@mionline.org](mailto:mirna@mionline.org)

Name of Authorized Signatory with Signature on File

Approved By:		Examined By:		Approved By:	
<a href="#">Mary-Claire Katz</a>	<a href="#">02/15/2024</a>	_____	_____	_____	_____
Project Manager	Date	CSA Fiscal Unit	Date	CSA Fiscal Unit	Date

Initially submitted: Feb 12, 2024 - 07:57:56



Office of the City Manager

ACTION CALENDAR  
June 13, 2023

To: Honorable Mayor and Members of the City Council

From: Dee Williams-Ridley, City Manager

Submitted by: David Sprague, Fire Chief

Subject: Final Report and Recommendations from the Standards of Coverage and Community Risk Assessment Study

RECOMMENDATION

Adopt a Resolution accepting the 17 findings and 10 recommendations contained in the Fire Department (Department) Standards of Coverage and Community Risk Assessment (SOC) study completed by Citygate Associates, LLC (Citygate).

Provide Staff direction to make any necessary modifications to the draft Response Time Performance Objectives General Order which Council deems necessary and direct Staff to return with a final version for adoption.

FISCAL IMPACTS OF RECOMMENDATION

There are a number of recommendations contained in the SOC that have a cost that is not within the Fire Departments budget. Those recommendations will be further analyzed to determine exact costs and will be brought forward through future budget processes, grant applications, or other creative funding strategies. There is no cost associated with adopting this resolution.

CURRENT SITUATION AND ITS EFFECTS

Following are all recommendations presented throughout the SOC. The **blue highlighted text** is the current update on implementation of each recommendation from the Department.

**Recommendation #1:** Proceed with the planned conversion to staffing the four current ambulances with non-firefighter paramedics and EMTs. **The City has already established two new classifications, EMT and Paramedic. There has been one group of Paramedics hired and they are operational in the firehouses. The Department is recruiting a second group of Paramedics that will be hired in October of 2023. The Department has had to pause on recruitment of EMTs until a Headquarters/EMS Deployment**

center can be finalized as there is no room to deploy these personnel in any existing facility.

**Recommendation #2:** The Department needs to add two additional ambulances, requiring 16 additional non-firefighter Paramedics and/or EMT FTE personnel. Two additional ambulances have been purchased and have arrived. These ambulances will be staffed with EMTs, this recruitment cannot occur until the Fire Department has secured a Headquarters/EMS Deployment Center as there is no room to deploy additional ambulances in any existing facility.

**Recommendation #3:** The City needs to upgrade its dispatch staffing, training, and software to allow for clinical call triage to send Basic Life Support (BLS) ambulances or alternative care units to low-acuity EMS requests, as outlined in the analysis from Federal Engineering Communications consulting. A consultant, Federal Engineering, has completed the Dispatch Needs Assessment, it was presented to the Public Safety Policy Committee on May 15, 2023 and will be presented to the full Council on July 11, 2023. The dispatch center is decades behind all other centers in the region and will require a substantial investment to increase and modernize the facility, add more staff, new technology, more training and new equipment. If these enhancements cannot be made, the City will need to explore alternate options to provide modern fire and EMS dispatch services.

**Recommendation #4:** Design and focus on new strategies to provide for traffic calming and pedestrian safety while not significantly worsening emergency response times or community evacuation times. The Department has contracted with a consultant to perform an Evacuation and Response Time Study, which is projected to be completed in the Fall of 2024. The Department is considering other ways to work with all stakeholders on this issue in order to achieve safer streets for bikes and pedestrians while not worsening travel time for the thousands of other customers that call 9-1-1 for life-saving aid each year who also deserve and expect an efficient and effective response.

**Recommendation #5:** Increase the staffing on six of the nine firefighting units (four engines, two aerial trucks) from three to four personnel per day. The transition to staffing ambulances with EMTs and Paramedics will allow the Department to reassign a fourth firefighter to three of the six firefighting units, beginning with the companies in the downtown core. This transition should be completed no later than July 1, 2025. Council has approved a FEMA grant application that would provide funding to add a fourth firefighter on two additional engine companies for three years.

**Recommendation #6:** Provide the overtime staffing increase from three to four firefighters for engines 3, 4, and 7, which are closest to the eastern hills during high-hazard wildfire threat periods. This can be implemented in the 2023 wildfire season as there is anticipated to be a minimal number of Red Flag days each year. However, as climate changes, and the number of Red Flag weather days increases, the impacts of this policy decision may increase.

**Recommendation #7:** If ambulance and dispatch improvements do not improve acute emergency response times and lower unit-hour utilization (UHU) workload to no more than 30 percent for long, contiguous hours of the day, the City should construct infill fire or ambulance-only stations between the current busiest station pairs of 2 and 5 and 1 and 6. The Department has not acted on this recommendation.

**Recommendation #8:** Adopt updated deployment policies: City Council should consider adopting complete performance measures that begin with a 9-1-1 call being answered and end with the Fire Department and/or an ambulance arriving at the emergency incident. The measures of time should be designed to save patients and keep small but serious fires from becoming more complex or damaging. With this in mind, Citygate recommends the following outcome-based measures for the major emergency types:

**8.1: Geographic Distribution of Fire Stations:** To treat medical patients and control small fires, the first-due unit should arrive

within 8:30 minutes, 90 percent of the time, from receipt of the 9-1-1 call in the fire dispatch center. This equates to a 90-second dispatch time, a maximum 2:00-minute nighttime company turnout time, and a 5:00-minute travel time, which is realistic for Berkeley as a more urban area. [See the attached draft Response Time Performance Objectives General Order.](#)

- 8.2: Multiple-Unit Effective Response Force for Serious Emergencies:** To confine fires near the room of origin and treat up to five medical patients at once, a multiple-unit response of a minimum of four engines, two ladder trucks, one ambulance, one Medic Supervisor, and one Battalion Chief—totaling a minimum of 22 personnel—should arrive within 11:30 minutes from the time of 9-1-1 call receipt in fire dispatch, 90 percent of the time. This equates to a 90-second dispatch time, a 2:00-minute company turnout time, and an 8:00-minute travel time. [See the attached draft Response Time Performance Objectives General Order.](#)
- 8.3: Hazardous Materials Response:** The Department needs to maintain its hazardous materials response as designed to protect the community from hazards associated with uncontrolled release of hazardous and toxic materials. The first-due unit should arrive to investigate a hazmat release at the operations level within 8:30 minutes, 90 percent of the time. This equates to a 90-second dispatch time, a 2:00-minute company turnout time, and a 5:00-minute travel time in urban population areas. After assessment and scene evaluation is completed, a determination can be made whether to request additional resources. [See the attached draft Response Time Performance Objectives General Order.](#)
- 8.4: Technical Rescue:** To respond to technical rescue emergencies as efficiently and effectively as possible with enough trained personnel to facilitate a successful rescue, the first-due company to arrive for assessment of the rescue should achieve a 5:00-minute travel time in urban to suburban areas, 90 percent of the time. Additional resources capable of initiating a rescue should be assembled within a total response time of



11:30 minutes, 90 percent of the time, with the result being a safe and complete rescue/extrication to ensure delivery of patients to a definitive care facility. [See the attached draft Response Time Performance Objectives General Order.](#)

**Recommendation #9:** Adopt a split turnout time measure consisting of 2:00 minutes or less, 90 percent of the time, averaged over a 24-hour period, and within that, a daytime measure of 1:30 minutes or less, 90 percent of the time, from 0700–2200 hours. [See the attached draft Response Time Performance Objectives General Order.](#)

**Recommendation #10:** The City should add a second field operations Battalion Chief 24/7 as soon as fiscally possible. [There is a substantial cost associated with implementation of this recommendation that does not currently have a funding source. The Department will continue to pursue ways to partially or fully implement this recommendation.](#)

Citygate finds that the Department is organized only to accomplish “yesterday’s mission” and is struggling to meet current demand, much less the future growth of the City and University. The Department is working to adopt best practices, become proactive, and pursue understanding and service provision that is data driven. Citygate found a caring, committed workforce that is strongly dedicated to the City and agency, using best practices where possible to anticipate and meet the risks to be protected in the City.

The Department is challenged by EMS call volume growth, which significantly exceeds crew workload limits. The growth in population and medical incident demand which has occurred in the City over the past two decades, and which is projected to continue, will increasingly strain the Department’s response times (See Table 1, below), which are already substantially slower than best practice recommendations. There are solutions to these issues that will take more than one fiscal year to correct. City leadership can use this study as a master plan to drive policy choices over the next several years.

<b>Table 1 – Response Performance Summary</b>				
<b>Response Component</b>	<b>Best Practice</b>		<b>90<sup>th</sup> Percentile Performance</b>	<b>Performance Versus Best Practice and Current Goal</b>
	<b>Time</b>	<b>Reference</b>		
<b>Call Processing / Dispatch</b>	1:30	NFPA	<b>2:29</b>	<b>+ 0:59</b>
<b>Crew Turnout</b>	2:00	Citygate	<b>2:05</b>	<b>+ 0:05</b>
<b>First-Unit Travel</b>	4:00	NFPA	<b>5:53</b>	<b>+ 1:53</b>
<b>First-Unit Call to Arrival</b>	7:30	Citygate	<b>9:32</b>	<b>+ 2:02</b>
<b>ERF Call to Arrival</b>	11:30	Citygate	<b>18:50</b>	<b>+ 7:20</b>

The Department serves a diversity of populations, across a varied zoning pattern combined with topography and road design constraints, place significant restrictions on best practice-based fire and EMS response times. Population drives service demand, and development brings population. Of the top 50 largest cities in California, Berkeley is already the second most densely populated city per square mile—second only behind San Francisco—without factoring in the daily influx of students, Citywide employment, tourism, and cars on the freeways. The City needs an urban level of fire, EMS, and specialty rescue services.

The City is also evolving to improve its housing shortages by approving mid- and high-rise residential buildings. The ongoing intensification of land uses, building heights, and population density will make several sections of the City very urban—typical of the largest metropolitan cities for building fire and rescue/EMS challenges. The cumulative effect of these projects around the City necessitates a shift in staffing and response models as well as an increase in the flexibility of emergency medical resources. The City's fire and ambulance programs must evolve to those suitable for a major urban fire department in staffing, unit types, and facility locations. Citygate acknowledges this will not only be costly but also very difficult to find new locations for responders.

Throughout the City, while the substantial growth in EMS incidents over the past two decades seems all-consuming, for the foreseeable future there will always be the need for both a first-due unit and multiple-unit response consistent with current best practices to limit the risk of fire damage to only part of an affected building and keep wildland fires small within the initial response force's capabilities. Stated this way, all neighborhoods need a standby and readily available firefighting force that can respond when fires break out, regardless of peak-hour EMS workload. As demonstrated by current extreme

weather emergencies, and past local experiences with seismic events and wildfires, there is also a need for a strong Fire Department during natural disasters, as the vulnerable members of the City's population will need help from first responders.

### BACKGROUND

The Department retained Citygate to conduct the City's first Standards of Cover (SOC) Study and Community Risk Assessment to define appropriate levels of service based on a comprehensive analysis of historical performance; expectations; and existing and projected community risk factors, hazards, population growth and aging, topography, and the density and vertical growth of the build environment. Deployment strategies will then be proposed as indicated by the analysis. The study will assist the City in determining whether the current levels of service are appropriate for the risks to be protected in the City, and that the methods to ensure suitable service levels are consistent with generally accepted national standards and benchmarks.

### ENVIRONMENTAL SUSTAINABILITY AND CLIMATE IMPACTS

There were no identified impacts from the recommendations proposed in the SOC.

### RATIONALE FOR RECOMMENDATION

While there are no mandatory federal or state regulations directing the level of fire service response times and outcomes, there are guidelines and best practices from the National Fire Protection Association (NFPA), the Insurance Services Office (ISO), the Commission on Fire Accreditation International (CFAI), and the California Occupational Safety and Health Administration (Cal/OSHA). The level of service provided, and any resultant costs, is the choice of local communities in the United States. The body of regulations related to fire services suggests that if fire services are provided, they must be provided with the safety of the firefighters and the public in mind. Thus, there is often a constructive tension between the desired level of service and the level that can be funded, and many communities may not have the level of service they desire. The City's investments in fire services over the past decades serve as its baseline commitment today.

This study identifies that the community has a high expectation for service delivery and, in order to meet that expectation, additional investment in fire services is necessary.

### ALTERNATIVE ACTIONS CONSIDERED

Ignore the results of this industry standard evaluation process, continue to organize the Department and respond to the community in the same manner that has occurred for the past thirty years.

### CONTACT PERSON

David Sprague, Fire Chief, (510) 981-3473  
Keith May, Deputy Fire Chief, (510) 981-3473

Final Report and Recommendations from the Standards of Coverage and  
Community Risk Assessment Study

ACTION CALENDAR  
June 13, 2023

Attachments:

- 1: Resolution
- 2: Draft Response Time Performance Objectives General Order
- 3: Standards of Coverage and Community Risk Analysis, Volume I
- 4: Standards of Coverage and Community Risk Analysis, Volume II

# The Public Reverse Mortgage (PRM)

**An Efficient Tool to Support Elderly and Disabled Homeowners *and*  
Add to Affordable Housing Stock at  
*a Fraction of the Cost of Building New Units.***

# Public Reverse Mortgage (PRM)

## Types:

### *Life and Fixed Term*

- Pays homeowners a downpayment and monthly support, allowing them to use the property until their deaths (Life Usufruct)
- Protects inheritance rights with the caveat of a permanent deed restriction
- Cost per unit is generally no more than 70% of the appraised value and sometimes as low as 10%
- Program is partially self-sustaining as heirs pay back loan with interest supporting administrative costs.
- Temporal usufruct provides fixed cost option.

# Proven Effective as a Private Investment Vehicle in Europe

- The following examples were culled from real estate ads in Catalunya, the first in Barcelona, and the second in Mallorca.
- This is a standard private investment vehicle in many hot real estate markets in Europe, including Barcelona and greater Catalunya; Madrid, and Paris.
- Examples are in euros to demonstrate the standard percentages and parameters that are already in use.
- Making the program public is a triple win for cities, in that it serves 3 populations with one pot of money: usufructs, their heirs, and permanent affordability within the community.

# Disadvantage of Private Reverse Mortgages

- A private reverse mortgage generally becomes due upon the death of the borrower(s), though they may have 24 months with compound interest continuing to accumulate.
- Heirs may not qualify for a mortgage and could more easily lose the property
- Interest continues to accumulate for the life of the loan, making it potentially much more expensive for the borrower and/or heirs and possibly exceeding the value of the home
- If borrowers leave the unit for more than 12 months, the lending entity could consider the unit to no longer be their primary residence, triggering the necessity of loan repayment, possibly before the borrower is ready
- Borrowers get far less money (the last estimate I got was only 62.8% of what a Public Reverse Mortgage would offer, with compounding interest).



# Advantage of Public Reverse Mortgages (PRMs)

- **Usufructs have the advantage of using the property as they see fit for their lifetimes, so they can leave for as long as they like without a loan coming due (negotiable, depending on local vacancy laws).**
- **As long as heirs can pay back the loan, they can stay, without qualifying for a mortgage.**
- **Loan repayment is flexible in return for a lower maximum sale or rental ceiling**
- **Without interest accruing on the loan, more of the value of the transaction stays with the owners and renters, and total costs are lower**

# Example 1: Life Usufruct for 360,000 Euro Unit

- Owners are a 74 year couple.
- They receive a down payment of **37,000 euros**
- As long as either lives, they have a right to **exclusive use of the property and a payment of 850 euros a month.**
- They may opt to renounce rights of use; assign those rights to someone else; or remain until they both die. *Either way, the monthly payments continue, but the total price may be lower if they both die sooner. In Spain, age 89 is the standard used for life expectancy of older usufructs.*
- Assuming that both live an average of 15 more years, we get a **total of 153,000 additional euros** (850 euros x 180 months).
- **37,000 down payment + 153,000 "mortgage" = 190,000, a savings of 170,000 over market rate, or just over 47% savings off of the appraised value.**
- This example was done as private investment. The public plan would involve heirs instead of investors, and deed restrictions to ensure permanent affordability (see slide following ex. 2).

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## Ex. 2: Temporal Usufruct for 450,000 Euro Unit

- Owner is an 88 year old woman who anticipates living 2 more years.
- Initial downpayment: **150,000 Euros**
- She has a right to **exclusive use of the property and a payment of 1510 euros/month for 5 yrs.**
- In this example, the monthly payment is to be made until her death, with the remainder of any funds due paid in a lump sum to her heirs.
- The usufruct could either assign exclusive use of the property after death until the end of term, or renounce it to the investor.
- 151,000 down payment
- + 90,600 (1510 /mo. X 60 mos.)
- **241,600 total** (*just over 69% of the appraised value*).

Advantage: The total cost of the unit, as well as the maximum period before the new owner would have exclusive use of the property are both known.

Disadvantage: In the event she lived over 5 more years, she'd still have to vacate her home. A public plan answer to this is to allow her to continue living there without further payments until her death.

# PRM Options for Heirs

The heirs pay the money back at a rate not to exceed  $\frac{1}{3}$  of their monthly income or the total of their voucher for renters, and are eligible for assistance in the event of need.

How much the property can be resold for depends on length of loan repayment:

- **0-5 Years:** affordable to someone with a missing middle income
- **6-10 Years:** affordable to someone in low income bracket
- **11-20 Years:** affordable to someone in the very low income bracket
- **21-30 Years:** only sellable or rentable to someone in the extremely low income bracket

Any temporal usufruct who outlives the contract has first option to rent back their own unit at a level affordable to them, or to live rent-free and payment free until death.

# Financing and Administrative Costs

- The City or Land Trust should pre-finance and have all of the money for the usufruct in-hand at the time of signing, to be kept in an interest-bearing account (perhaps laddering bonds).
- Added to this later, a possible fund for necessary repairs and ADA upgrades. Once ADA upgraded, it can't be undone. City shares costs at a graduated rate.
- Source of funds should include a corporate tax at the state level, to be shared with other cities; the vacancy tax; and grants. The vacancy tax could fund a pilot program. Interest from repayments would go directly to administrative costs.
- The account could be added to yearly so that the monthly payment to the usufruct would include a COLA, funded by interest from investment above.

# Additional Ways of Leveraging Affordability

- Rent Control pilot program that incentivizes low income rentals on a sliding scale (see next slide)
  - A first-time homebuyers' program that would, with a small grant, allow a property's affordability to increase (see following slide)
  - A trade: room in a continuing care facility for life in exchange for passing the unit on to a City or heir under the PRM terms.
  - Allowing heirs a new PRM in exchange for lowering value to the next bracket down.
-

# Pilot Rent Control Program for PRM Properties

- For landlords willing to rent (or being obligated to rent under the terms of the contract) to an XLI person or other difficult to place person (formerly homeless or incarcerated, voucher holders, etc.), the landlord would get increases of full CPI; all pass-throughs from bond measures and parcel taxes, as well as landlord fees; increases at cost of water, garbage, electricity, etc.; and the same deal offered under TOPA proposals for capital improvements; in addition to a 3% a year increase on the total. *As a reminder, these funds would come from the state tax fund, so this part of the program might take longer to implement. Renters would NOT be responsible for the increases.*
- For VLI rentals, as above, but with only a 2% additional yearly increase.
- For LI rentals, as above, but with only a 1 % additional yearly increase.
- For Missing Middle rentals, as above, but with no additional yearly increase.

# Alternatives for Making Units More Affordable

- An heir of a PRM property with the right to resell at Missing Middle levels could later decide to take out a new PRM. As the value of the home is now below market, the 70% of value calculation would be lower, as would the loan. This would also require that the new maximum sale or rental level would decrease at least one income level.
- If a low income first-time homebuyer wanted to buy a property where the seller could ask prices at the Missing Middle level, the City, with sufficient funding, could pay the difference between the HUD limits for Missing Middle incomes and the max HUD limits for low income buyers in exchange for a further deed restriction, lowering the cost of the unit each time it changes hands at the expense of the tax fund.



# ADUs Expand Options

- Before doing a PRM and with a proper funding pool, homeowners could apply to the City or Land Trust to put in an ADU. The City or Land Trust would get a minimum 100 year lease on a (now legally separate, as a condo) piece of land and would be responsible for all aspects of the rental process.
- The owner could choose from one of 10 pre-selected pre-fab ADUs, which would save on inspections (site inspection and final inspection would be all that's necessary), and the City or land trust would buy the pre-fab.
- Owner could choose tenant (caregiver, for example)
- The main house could be separately reverse mortgaged, allowing for inheritance by more than one heir, and generating more income for the usufruct.

# To Sum Up

## The homeowner gets:

- To remain in their home.
- They get a downpayment and steady income.
- They get to pass their home on to an heir, with certain restrictions,\* but without compounding interest. At the same time, they give back to their community.

## The heirs get:

- The option to pay back the loan at an affordable level without qualifying for a mortgage.
- They have the option of selling or renting out the property under the terms of the deed restriction.

## The city gets:

- Permanently affordable housing at a variety of different price points.
- A program that is at least partially self-sustaining.
- A program that is voluntary instead of coercive.
- Reintroduces affordability to ALL of our neighborhoods.

\*The restriction is that instead of selling the property at market rate, the property can only be resold or rented at levels determined by the length of the loan.



Human Welfare and Community Action Commission (HWCAC)

## ACTION CALENDAR

January 4, 2024,

To: Honorable Mayor and Members of the City Council

From: Human Welfare and Community Action Commission (HWCAC)

Submitted by: Mary Behm-Steinberg, Chair, HWCACa

Subject: Reestablishment of Hybrid Commission Meetings

### RECOMMENDATION

Adopt first reading of an Ordinance to allow hybrid participation in Commission and Committee meetings

### CURRENT SITUATION AND ITS EFFECTS

Prior to the pandemic, a number of disability advocates advocated for remote access to Commission meetings. While the City has returned to in-person only meetings for Commissions, City Council meetings continue to be held in a hybrid format, allowing for participation by all and access not only for persons with disabilities, but also seniors; caregivers; and anyone working hours that preclude direct participation.

With the pace of change the City is currently undergoing, it is vital that no one be left behind, and hybrid Council meetings prove that this is achievable even under the Brown Act as currently written.

Moreover, this is easily achievable with nothing more than a laptop and an appropriate zoom license, so we see no reason why the same openness and transparency cannot be made available for all City meetings.

January 4, 2024,

Whereas participation in public meetings is a fundamental civil right of all citizens;

Whereas participation in Council meetings is already available on a hybrid basis;

Whereas many of the most vulnerable people in the City, whether through disability; homelessness; age; caregiver status; or having to work an excessive number of hours or participate in meetings being held simultaneously preclude participation by interested parties in critical events of particular concern;

We recommend that Commission meetings be made available on a hybrid basis as soon as possible

ENVIRONMENTAL SUSTAINABILITY AND CLIMATE IMPACTS

The possibility of elimination of carbon emissions through extra car trips, which are often necessary for disabled people when bus lifts aren't functioning consistently

CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA)

None

RATIONALE FOR RECOMMENDATION

Public meetings are intended to be accessible for all. This will allow more participation from underrepresented groups.

ALTERNATIVE ACTIONS CONSIDERED

We have already proven during the pandemic that this is achievable, and the only alternative we have seen other than amending the Brown Act at the state level is the status quo, which does not work for many. This is especially true as some members of the community have extreme autoimmune deficiencies and are still not able to participate in person due to ongoing COVID concerns.

CITY MANAGER

The City Manager has not taken a position on this item

CONTACT PERSON

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City of Berkeley

Housing and Community Services

January 4, 2024,

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## REESTABLISHMENT OF HYBRID COMMISSION MEETINGS

BE IT ORDAINED by the Council of the City of Berkeley as follows:

All Commission and Committee meetings, as well as town halls, shall be held in a hybrid format to enable the widest possible participation in local meetings on the same basis as current Council meetings.

Copies of this Ordinance shall be posted for two days prior to adoption in the display case located near the walkway in front of the Maudelle Shirek Building, 2134 Martin Luther King Jr. Way. Within 15 days of adoption, copies of this Ordinance shall be filed at each branch of the Berkeley Public Library and the title shall be published in a newspaper of general circulation.