

CONTRACT ROUTING SHEET

Date Prepared: 12/29/08

Need Date: 1/12/09

PROCESSING DEPARTMENT:

Department: Human Services

Dept. Contact: Amy Higdon

Phone #: x4836

Department Head Signature: 

Doug Nowka, Director

CONTRACTOR:

Name: CA Dept. of Community Services and Development

Address: P.O. Box 1947
Sacramento, CA 95823-1947

Phone: 916-341-4200

EL DORADO COUNTY COUNSEL
208
11:39 AM

CONTRACTING DEPARTMENT: Human Services

Compliance with Human Resources requirements? Yes: X No:

Compliance verified by: Patti Barton with original agreement on 12/17/07

COUNTY COUNSEL: (Must approve all contracts and MOU's)

Approved: ✓ Disapproved: Date: 12-30-08 By: 

Approved: Disapproved: Date: By:

RISK MANAGEMENT: (Must approve all contracts, MOU's and boilerplate grant agreements)

Approved: ✓ Disapproved: Date: 12/30/08 By: 

Approved: Disapproved: Date: By:

Certificate of self insurance attached.

RECEIVED
HUMAN RESOURCES DEPT
08 DEC 30 PM 3:39

PLEASE CALL AMY HIGDON AT x4836 FOR PICK UP. THANKS!

OTHER APPROVAL: (Specify department(s) participating or directly affected by this contract).

Departments:

Approved: Disapproved: Date: By:

Approved: Disapproved: Date: By:

STATE OF CALIFORNIA
STANDARD AGREEMENT
 STD. 213 A (Rev. 6/03)

AGREEMENT NUMBER 08F-4910	AMENDMENT NUMBER 2
REGISTRATION NUMBER 47000308292295.2	



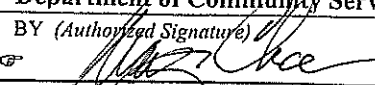
- This Agreement is entered into between the State Agency and the Contractor named below
 STATE AGENCY'S NAME
Department of Community Services and Development
 CONTRACTOR'S NAME
El Dorado County Department of Human Services
- The term of this Agreement is : **January 1, 2008 through December 31, 2009**
- The maximum amount of this Agreement is: **\$ 308,553.00**
- The parties mutually agree to this amendment as follows. All actions noted below are by this reference made a part of the Agreement and incorporated herein:

Contractor agrees to continue to provide services and activities to eligible participants residing in the designated service area described in Exhibit A, Section 2., pursuant to Government Code Section 12725 et seq., and 42 United States Code (USC) 9901 et seq., as amended, the Community Services Block Grant Act.

- The total consideration payable to Contractor by the State has changed from **\$243,054.00** to **\$308,553.00**, reflecting an increase of **\$65,499.00**.

RECEIVED
 CONTRACT SERVICES UNIT
 2009 JAN - 7 PM 2:07

~~IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto:~~

CONTRACTOR		CALIFORNIA Department of General Services Use Only
CONTRACTOR'S NAME (If other than an individual, state whether a corporation, partnership, etc.) El Dorado County Department of Human Services		I hereby certify that all conditions for exemption have been complied with, and this document is exempt from the Department of General Services' approval.  09-0901.G.2 <input type="checkbox"/> Exempt per _____
BY (Authorized Signature) 	DATE SIGNED (Do not type) 1/5/09	
PRINTED NAME AND TITLE OF PERSON SIGNING Doug Nowka, Director, El Dorado County Department of Human Services		
ADDRESS 937 Spring Street, Placerville, CA 95667		
STATE OF CALIFORNIA		
AGENCY NAME Department of Community Services and Development		
BY (Authorized Signature) 	DATE SIGNED (Do not type) 1/22/09	
PRINTED NAME AND TITLE OF PERSON SIGNING Margie Chan, Deputy Director, Administrative Services		
ADDRESS 700 North 10th Street, Room D215, Sacramento, California 95811-0336		

2. Exhibit B, Budget Detail and Payment Provisions, ATTACHMENT I, CSBG FISCAL DATA, shall be added to include the 2009 CSBG allocation, attached hereto and incorporated by this reference
3. Exhibit B, Budget Detail and Payment Provisions, ATTACHMENT II, CSBG Program DATA, shall be added to include the 2009 CSBG allocation, attached hereto and incorporated by this reference
4. Exhibit A, Scope of Work, Attachment III. U. S. Department of Health and Human Services, Community Service Block Grant 2009, Terms and Conditions, is attached and hereby incorporated by this reference, if applicable. Contractor shall adhere to all applicable provisions in Exhibit A, Attachment III, of this Agreement.
5. Exhibit D, Special Terms and Conditions, 1. CERTIFICATIONS, item 9) Attachment IV is added:

Management Memo (MM 08-11) issued by the Office of Information Security and Privacy Protection, Safeguarding Against and Responding to a Breach of Security Involving Personal Information.

6. Exhibit D, Special Terms and Conditions, 6. Audit Reports, item B. is deleted in its entirety and replaced with Exhibit 6, B. to read as follows:
 - B. The financial and compliance audit report shall contain the following supplementary financial information: A combined statement of revenue and expenditures for each contract that presents, by budget line item, revenue and expenditures for the contract or audit period and a description of the methodology used to allocate and claim indirect costs and any administrative cost pools. The audit report must specifically mention that a review for compliance with OMB Circulars A-87 and A-122 was conducted.
7. Exhibit D, Special Terms and Conditions, 7. Auditing Standards is deleted in its entirety and replaced with Exhibit D 7.B. to read as follows:
 - A. Contractor must follow all audit requirements as set forth in this Agreement, including but not limited to this Exhibit D Sections 4 through 7, OMB Circular A-133 and the CSD Supplemental Audit Guide dated November 18, 2007, which is incorporated by reference into this Agreement. The Supplemental Audit Guide may be accessed at www.csd.ca.gov.
 - B. Contractor must follow all audit requirements as set forth in this Agreement, including OMB Circular A-133 and the 2009 Supplemental Audit Guide. The 2009 Supplemental Audit Guide is Attachment V, of this Agreement.
8. Exhibit D, Special Terms and Conditions, 13. Board Roster, By-Laws, Resolution and Minutes, item B. is added to read follows:

- B. Contractor shall submit to CSD a current tripartite board roster, including the name and sector (i.e., low-income, public, private) of each board member.

All other terms and conditions shall remain unchanged.

The County officer or employee with responsibility for administering this contract is Doug Nowka, Director, Department of Human Services, or successor.

ATTACHMENT I

CSBG FISCAL DATA

CSBG Contract Budget (Summary)	CSD 425.S	(Rev. 11/07)
Budget Support	CSD 425.1.1	(Rev. 11/07)
	CSD 425.1.2	(Rev. 11/07)

CSD 425.S (Rev. 11/07)

ATTACHMENT I Please indicate Reporting option: Monthly Bimonthly

CSBG FISCAL DATA -- CSBG CONTRACT BUDGET (SUMMARY)

Contractor Name: El Dorado County Dept of Human Services		Contract Number: 08F-4910	Program Yr. Amount: \$243,054
Prepared By: Maki Ganno		Contract Term: 1/1/2008-12/31/2009	Amendment #: 2
Telephone #: (530) 642-4893		Program Year: (e.g., 2008) 2008/2009	Fax Number: (530) 295-2560
Date: 1/12/2009	Email: maki.ganno@co.el-dorado.ca.us		

SECTION 10: ADMINISTRATIVE COSTS

Line Item	Description	CSBG Funds
1	Salaries and Wages	\$161,655.00
2	Fringe Benefits	\$68,933.00
3	Operating Expenses & Equipment	\$12,466.00
4	Out-of-State Travel	
5	Subcontractor Services	
6	Other Costs:	
Subtotal Section 10: Administrative Costs (cannot exceed 12% of Section 80)		\$243,054.00

SECTION 20: PROGRAM COSTS

7	Salaries and Wages	
8	Fringe Benefits	
9	Operating Expenses & Equipment	
10	Out-of-State Travel	
11	Subcontractor Services	
12	Other Costs:	
Subtotal Section 20: Program Costs		

SECTION 40: Total CSBG Budget Amount (Sum of Subtotal Sections 10 and 20)	\$243,054.00
SECTION 70: Enter "Other Agency Operating Funds"	\$35,424,971.00
SECTION 80: Agency Total Operating Budget (Sum of Sections 40 and 70)	\$35,668,025.00
SECTION 90: CSBG Funds Administrative Percent (Section 10 divided by Section 80)	0.7%

INSTRUCTIONS

ATTACHMENT I – CSBG FISCAL DATA- CSBG CONTRACT BUDGET (Summary) CSD 425 S (Rev. 11/07)

Enter the identifying information requested at the top of the report form: contractor's name, contract number, program year amount, contract term, program year (e.g., 2008), and amendment number (*if applicable*). Enter the preparer's name, telephone number, e-mail address, and fax number.

SECTION 10: ADMINISTRATIVE COSTS:

Those costs which are directly related to the administration of the CSBG contract.

Lines 1 through 6: CSBG FUNDS: Enter the total amount budgeted for each of the line items.

1. Salaries & Wages

Provide the total dollar amount of salaries and wages dedicated to staff performing administrative duties. Includes all payments made to administrative staff, permanent or temporary, as well as all regular and overtime pay, as approved by the contract authority.

2. Fringe Benefits

Provide the total dollar amount of fringe benefits for to staff performing administrative duties. Include all payments made in accordance with approved payroll benefit programs. This includes retirement/pension plans and various other forms of insurances related to employee compensation such as disability, life, health and unemployment. Additionally, payroll taxes, workers' compensation, disability insurance, sick leave and accrued vacation should be included.

3. Operating Expenses & Equipment

Provide the total dollar amount for all administrative operating expenses and equipment related to CSBG programs. ~~Examples of administrative operating expenses & equipment include:~~

- In-state travel costs.
- Building costs (such as rental & lease fees)
- Consumable supply costs.
- Utility costs
- Administrative operating costs (such as telephones, building alarms, maintenance, etc)
- Supply costs (such as printing, duplication, postage, etc)
- Insurance costs not related to personnel insurance costs
- Additional fees related to the administration of the CSBG Program (such as staff trainings, membership dues, costs incurred due to Board meetings, subscriptions, etc)
- All equipment/lease purchases dedicated to administrative needs
- Funds spent on contractor/consultant services to meet administrative needs in this area.

List all Equipment/Lease costs and Contracts/Consultants Costs in excess of \$5,000.
Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the detailed information.

4. Out-of-State Travel

Provide the total dollar amount of travel costs, excluding personnel costs related to administrative tasks incurred during travel outside of the State of California. Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the name of the conference, location, and cost per trip.

5. Subcontractor Services

Provide the total dollar amount administered to any subcontracting agencies that provide administrative services.

List all subcontractor costs in excess of \$5,000. Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the detailed information.

6. Other Costs

Provide a list of all other administrative costs that do not fit in the above categories, including but not limited to any funds directed towards:

- IT Development. IT Development includes only projects in the development phases. Costs of IT projects in use should be included in Operating Expenses & Equipment above.
- Audit, Legal and Lobbying Costs: As defined by the Cost Principles in OMB Circular A-122
- Indirect Costs. The indirect cost rate is defined as the dollar value of the approved federal rate and the entire amount can be claimed as long as it is not reimbursed by another funding source. Please note that if indirect costs are reported the approved Indirect Cost Rate Plan must be submitted.

SUBTOTAL SECTION 10 (Administrative Costs): Enter the sum of line items 1 through 6 for CSBG FUNDS. (Cannot exceed 12% of Section 80)

SECTION B: PROGRAM COSTS:

Those costs incurred that are not related to the administrative costs reported above, but are directly related to the operation of the organization.

Lines 7 through 12: CSBG FUNDS: Enter the total amount budgeted for each of the line items.

7. Salaries and Wages

Provide the total dollar amount of salaries and wages dedicated to staff performing programmatic support activities. Include all payments made to programmatic staff, permanent or temporary, as well as all regular and overtime pay, as approved by the contract authority.

8. Fringe Benefits

Provide the total dollar amount of fringe benefits dedicated to staff performing programmatic support duties. Include all payments made in accordance with approved payroll benefit programs. This includes retirement/pension plans and various other forms of insurances related to employee compensation such as disability, life, health and

unemployment. Additionally, payroll taxes, workers' compensation, disability insurance, sick leave and accrued vacation should be included.

9. Operating Expenses & Equipment

Provide the total dollar amount for all programmatic operating expenses and equipment linked with CSBG programs. Include:

- In-state travel costs related to programmatic costs
- Building costs related to programmatic operation (such as rental & lease fees)
- Consumable supply costs
- Programmatic operating costs (such as telephones, building alarms, maintenance, etc)
- Programmatic supply costs (such as printing, duplication, postage, etc)
- Additional fees related to the programmatic operation of the CSBG Program
- Equipment/lease purchases dedicated to programmatic needs
- Funds spent on contractor/consultant services to meet programmatic needs in this area.

List all Equipment/Lease costs and Contracts/Consultants Costs in excess of \$5,000.

Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the detailed information.

10. Out-of-State Travel

Provide the total dollar amount of travel costs related to programmatic tasks incurred during travel outside of the State of California. Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the name of the conference, location, and cost per trip.

11. Subcontractor Services

Provide the total dollar amount paid to any subcontracting agencies that provide programmatic services.

List all subcontractors in excess of \$5,000. Complete CSBG Fiscal Data – Non Personnel Cost CSD 425 1.2 with the detailed information.

12. Other Costs

Provide a list of all other programmatic costs that do not fit in the categories above, including but not limited to funds directed towards:

- Direct Client Purchases. Include all direct purchases made with CSBG dollars for items designated specifically for client use.

SUBTOTAL SECTION 20 (Program Costs):

Enter the sum of line items 7 through 12 for CSBG FUNDS.

SECTION 40: Total CSBG Budget Amount:

Enter the sum of Subtotal Sections 10 and 20. The amount must match the contract amount.

SECTION 70: Total of Other Community Action Program Operating Funds:

Provide the total operating budget of the community action program(s) administered by the tripartite board. For public community action agencies, all funds under the administration of the advisory or administrative tripartite board should be considered as community action program operating funds. **Prepare and attach a detailed, itemized list identifying all other known funding sources and amounts that make up the total annual operating budget of the community action program(s).**

SECTION 80: Community Action Program Total Operating Budget:

The sum of Section 40 (Total CSBG Budget Amount) and Section 70 (Other Agency Operating Funds).

SECTION 90: CSBG Funds Administrative Percent:

Divide Section 10: Administrative Costs by Section 80: Agency Total Operating Budget. This percentage cannot exceed 12% of the community action program's total operating budget.

ATTACHMENT I -- BUDGET SUPPORT -- PERSONNEL COSTS

Contractor Name: EI Dorado County Department of Human Services	Contract Number: 08F-4910	Program Yr. Amount: \$243,054
Prepared By: Maki Ganno	Contract Term: 1/1/2008-12/31/2009	Amendment #: 2
Telephone #: (530) 642-4893	Program Year: (e.g., 2008) 2008/2009	Fax Number: (530) 295-2560
Date: 1/12/2009	E-mail Address: maki.ganno@co.ei-dorado.ca.us	

ADMINISTRATIVE COSTS -- SALARIES AND WAGES

A	B	C	D	E	F	Total CSBG Admin. Cost per position ((G+D)*A)*E
No. of Positions	Position Title	Salaries and Wages	Fringe Benefits	% of time to CSBG Administration	% of time to CSBG Program	
1	Director	\$176,608	\$46,828	25%		\$55,859
1	Program Manager	\$92,948	\$44,392	10%		\$13,734
1	Administrative Technician	\$49,978	\$15,673	50%		\$32,826
1	Program Coordinator (SLT)	\$49,767	\$23,867	35%		\$25,772
1	Sr. Accountant	\$62,739	\$29,371	40%		\$36,844
1	Accountant	\$52,975	\$27,228	20%		\$16,041
1	Fiscal Technician	\$43,430	\$22,707	20%		\$13,227
1	Sr. Fiscal Assistant	\$30,376	\$23,092	10%		\$5,347
1	Program Assistant	\$40,858	\$27,894	45%		\$30,938
Total (should equal the sum of Section 10 Administrative Costs: lines 1 and 2 of the Budget Summary 425 S.)						\$230,588

INSTRUCTIONS

ATTACHMENT I – CSBG FISCAL DATA- CSBG BUDGET SUPPORT -- Personnel Costs CSD 425 1.1 (Rev. 11/07)

Enter the identifying information requested at the top of the report form: contractor's name, contract number, program year amount, contract term, program year (e.g., 2008), and amendment number (*if applicable*). Enter the preparer's name, telephone number, e-mail address, and fax number.

ADMINISTRATIVE COSTS – SALARIES AND WAGES:

Complete this form for those costs which are directly related to the administration of the CSBG contract. Provide the specific positions for the salaries and wages (Line Item# 1 Budget Summary 425 S) and Fringe Benefits (Line Item# 2 Budget Summary 425 S).

- Column A: **Number of Positions**
Specify the number of positions for each Position Title in Column B that are directly related to the administrative costs of the CSBG contract.
- Column B **Position Title**
Specify the position title. Do not abbreviate.
- Column C: **Salaries and Wages**
Specify the total dollar amount of salaries and wages for staff performing CSBG administrative activities. Include all payments made to administrative staff, permanent or temporary, as well as all regular and overtime pay, as approved by the contract authority.
- Column D: **Fringe Benefits**
Specify the total dollar amount of fringe benefits for staff performing administrative duties. Include all payments made in accordance with approved payroll benefit programs. This includes retirement/pension plans and various other forms of insurances related to employee compensation such as disability, life, health and unemployment. Additionally, workers' compensation, disability insurance, sick leave and accrued vacation should be included.
- Column E: **Percent (%) of time to CSBG Administration**
Specify the amount of time (in percent) for the position dedicated to the CSBG administrative activities.
- Column F: **Percent (%) of time to CSBG Program**
Specify the amount of time (in percent) for the position dedicated to CSBG programmatic activities—if applicable.
- Column G **Total CSBG Administrative Costs**
The sum of Col. C plus Col. D multiplied by Col. A multiplied by Col. E= dollar amount charged to the administrative costs of the CSBG contract.

ATTACHMENT I -- BUDGET SUPPORT -- NON PERSONNEL COSTS

Contractor Name: El Dorado County Department of Human Services	Contract Number: 08F-4910	Program Yr. Amount: \$243,054
Prepared By: Maki Ganno	Contract Term: 1/1/2008-12/31/2009	Amendment #: 2
Telephone #: (530) 642-4893	Program Year: (e.g., 2008) 2008/2009	Fax Number: (530) 295-2560
Date: 1/12/2009	E-mail Address: maki.ganno@co.el-dorado.ca.us	

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

EXPLAIN AND JUSTIFY EACH LINE ITEM Totals must match Budget Summary - Attach additional sheet(s) if necessary Missing description shall result in delay of the contract execution.	Section 10 Administrative Costs	Section 20 Program Costs
List all Equipment Purchases in Excess of \$5,000 per item:	3	9
List all Contract & Consultant Services in Excess of \$5,000:	3	9
List all Out-of-State Travel Only:	4	10
List all Subcontractor Services in excess of \$5,000:	5	11
Other Costs - Explain & Justify costs greater than \$10,000:		
i. IT Development:		
ii. Direct Client Purchases:		
iii. Indirect Costs:		
iv. Any additional Other Costs (attach additional sheet if necessary):		
Total Other Costs (Sum of i, ii, iii, iv):	6	12

ATTACHMENT I – CSBG FISCAL DATA- Non Personnel Costs
CSD 425 1.2 (Rev. 11/07)

Enter the identifying information requested at the top of the report form: contractor's name, contract number, program year amount, contract term, program year (e.g., 2008), and amendment number (*if applicable*). Enter the preparer's name, telephone number, e-mail address, and fax number.

List those costs which are directly related to the **administrative** (Column A) and/or **program** (Column B) of the CSBG contract.

List all Equipment Purchases Services in Excess of \$5,000

Provide a detailed list of all equipment purchases in excess of \$5,000; include type of equipment and the amount (e.g. copy machine, \$6,500).

List all Contract & Consultant Services in Excess of \$5,000:

Provide a detailed list of the contract and consultant services in excess of \$5,000; include the name and amount of the each contract. (e.g., strategic planning consultant, \$8,500)

List all Out-of-State Travel Only:

Provide detailed information for each out of state travel trip; include location, purpose of each trip, and related costs per trip (e.g., Chicago, IL, CAP Law Conference, \$1500).

List all Subcontractor Services in excess of \$5,000:

List the subcontractor name and total dollar amount administered to any subcontracting agencies that provide services in excess of \$5,000 (e.g., Youth Employment Training Agency, \$20,000).

Other Costs:

Please provide a list of all other administrative and program costs that do not fit in the above categories. Please specifically mention any funds directed towards:

- ~~i. IT Development: IT Development includes only projects in the development phases. Costs of IT projects in progress should be included in Operating Expenses & Equipment above.~~
- ~~ii. Direct Client Purchases: List all direct client purchases in excess of \$10,000; include the item name, the number purchased, and the cost (e.g. thermal blankets, qty. 3000, \$12,000).~~
- ~~iii. Indirect Costs: The indirect cost rate is defined as the dollar value of the approved federal rate, and the entire amount can be claimed as long as it is not reimbursed by another funding source. Please note that if indirect costs are reported, the approved Indirect Cost Rate Plan must be submitted.~~
- iv. Any additional Other Costs: List the additional other costs (attach additional sheet if necessary) that do not fit in any other category above in excess of \$10,000.
Total Other Costs (sum of i, ii, iii, iv)

ATTACHMENT I – CSBG FISCAL DATA- Non Personnel Costs
CSD 425 1.2 (Rev. 11/07)

Enter the identifying information requested at the top of the report form: contractor's name, contract number, program year amount, contract term, program year (e.g., 2008), and amendment number (*if applicable*). Enter the preparer's name, telephone number, e-mail address, and fax number.

List those costs which are directly related to the **administrative** (Column A) and/or **program** (Column B) of the CSBG contract.

List all Equipment Purchases Services in Excess of \$5,000

Provide a detailed list of all equipment purchases in excess of \$5,000; include type of equipment and the amount (e.g. copy machine, \$6,500).

List all Contract & Consultant Services in Excess of \$5,000:

Provide a detailed list of the contract and consultant services in excess of \$5,000; include the name and amount of the each contract. (e.g., strategic planning consultant, \$8,500)

List all Out-of-State Travel Only:

Provide detailed information for each out of state travel trip; include location, purpose of each trip, and related costs per trip (e.g. Chicago, IL, CAP-Law Conference, \$1500).

List all Subcontractor Services in excess of \$5,000:

List the subcontractor name and total dollar amount administered to any subcontracting agencies that provide services in excess of \$5,000 (e.g., Youth Employment Training Agency, \$20,000).

Other Costs

Please provide a list of all other administrative and program costs that do not fit in the above categories. Please specifically mention any funds directed towards:

- i. IT Development: IT Development includes only projects in the development phases. Costs of IT projects in progress should be included in Operating Expenses & Equipment above.
- ii. Direct Client Purchases: List all direct client purchases in excess of \$10,000; include the item name, the number purchased, and the cost (e.g. thermal blankets, qty. 3000, \$12,000).
- iii. Indirect Costs: The indirect cost rate is defined as the dollar value of the approved federal rate, and the entire amount can be claimed as long as it is not reimbursed by another funding source. **Please note that if indirect costs are reported, the approved Indirect Cost Rate Plan must be submitted.**
- iv. Any additional Other Costs: List the additional other costs (attach additional sheet if necessary) that do not fit in any other category above in excess of \$10,000.
Total Other Costs (sum of i, ii, iii, iv)

ATTACHMENT II

CSBG/NPI PROGRAM DATA

CSBG/NPI Program Report

CSD 801 (Rev. 11/07)

Contractor Name: El Dorado County Department of Human Services
 Contact Person and Title: Sarah De Stefano, Program Coordinator
 Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

Goal 1: Low-income people become more self-sufficient.

NPI 1.1: Employment

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

National Performance Indicator 1.1 Employment The number and percentage of low-income participants in community action employment initiatives who get a job or become self-employed, as measured by <u>one or more</u> of the following:	1 Number of Participants Projected to be Served for Contract Period (#)	2 Number of Participants Enrolled in Program(s) in Reporting Period (#)	3 Number of Participants Expected to Achieve Outcome in Reporting Period (#)	4 Number of Participants Achieving Outcome in Reporting Period (#)	5 Percentage Achieving Outcome in Reporting Period (%)
A. Unemployed and obtained a job					
B. Employed and obtained an increase in employment income					
C. Achieved "living wage" employment and benefits					

In the rows below, please include any additional indicators for NPI 1.1 that were not captured above.

Goal 1: Low-income people become more self-sufficient.

NPI 1.2: Employment Supports

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

<p align="center">National Performance Indicator 1.2</p> <p>Employment Supports</p> <p>The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from community action, as measured by <u>one or more</u> of the following:</p>	<p align="center">1</p> <p align="center">Number of Participants Projected to be Served for Contract Period (#)</p>	<p align="center">2</p> <p align="center">Number of Participants Enrolled in Program(s) in Reporting Period (#)</p>	<p align="center">3</p> <p align="center">Number of Participants Achieving Outcome in Reporting Period (#)</p>
A. Obtained pre-employment skills/competencies required for employment and received training program certificate or diploma			
B. Completed ABE/GED and received certificate or diploma			
C. Completed post-secondary education program and obtained certificate or diploma			
D. Enrolled children in "before" or "after" school programs, in order to gain or maintain employment			
E. Obtained care for child or other dependant in order to gain or maintain employment			
F. Obtained access to reliable transportation and/or driver's license in order to gain or maintain employment			
G. Obtained health care services for themselves or a family member in support of employment stability needed to gain or retain employment.			
H. Obtained safe and affordable housing in support of employment stability needed to gain or retain employment.			
I. Obtained food assistance in support of employment stability needed to gain or retain employment.			

In the rows below, please include any additional indicators for NPI 1.2 that were not captured above.

Goal 1: Low-income people become more self-sufficient.
NPI 1.3: Economic Asset Enhancement and Utilization

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

National Performance Indicator 1.3 Economic Asset Enhancement and Utilization The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by <u>one or more</u> of the following:	1 Number of Participants Projected to be Served for Contract Period (#)	2 Number of Participants Enrolled in Program(s) in Reporting Period (#)	3 Number of Participants Expected to Achieve Outcome in Reporting Period (#)	4 Number of Participants Achieving Outcome in Reporting Period (#)	5 Aggregated Dollar Amounts (Payments, Credits or Savings) (\$)	6 Percentage Achieving Outcome in Reporting Period (%)
A. ENHANCEMENT						
1. Number and percent of participants in tax preparation programs who identify any type of Federal or State tax credit and the aggregated dollar amount of credits						
2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments						
3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.						
<i>In the rows below, please include any additional indicators for NPI 1.3 that were not captured above.</i>						

National Performance Indicator 1.3 (Continued)	1	2	3	4	5	6
Economic Asset Enhancement and Utilization The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by <u>one or more</u> of the following:	Number of Participants Projected to be Served for Contract Period (#)	Number of Participants Enrolled in Program(s) in Reporting Period (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Aggregated Dollar Amounts (Payments, Credits or Savings) (\$)	Percentage Achieving Outcome in Reporting Period (%)
B. UTILIZATION						
1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days						
2. Number and percent opening an Individual Development Account (IDA) or other savings account and increased savings, and the aggregated amount of savings						
3. Of participants in a community action asset development program (IDA and others):						
a. Number and percent capitalizing a small business due to accumulated savings						
b. Number and percent pursuing post-secondary education due to savings						
c. Number and percent purchasing a home due to accumulated savings						
<i>In the rows below, please include any additional indicators for NPI 1.3 that were not captured above.</i>						

OPTIONAL

Agency's Narratives Goal 1: Low-income people become more self-sufficient.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

(Please note that the data entry spaces below will accept up to 1200 characters, which includes spaces and punctuation. If additional space is needed, continue on a word document and submit both documents via e-mail). **Please narrate activities and outcomes that support one or more of the national indicators in ways that may not be covered by the exact wording of the indicators. Among the kinds of outcomes that are most likely to be described in narratives are:**

1. Activities or programs that relate to special regional needs or conditions.

2. Activities or programs that reflect innovative combinations of services or community interventions.

3. Agency development activities that are not easily categorized or counted by more traditional outcome measures.

Contractor Name: El Dorado County Department of Human Services
 Contact Person and Title: Sarah De Stefano, Program Coordinator
 Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

Goal 2: The conditions in which low-income people live are improved.

NPI 2.1: Community Improvement and Revitalization

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Many low-income households pay more than 30% of their income for shelter, experiencing difficulty in obtaining safe, sanitary affordable rental housing. Other households have achieved stability in rental housing, but are unable to garner sufficient savings to progress to home-ownership via conventional home loans. Of approximately 16,914 rental units in the County, only small percentage are considered low-income, approximately only 1221 are subsidized. Many low and fixed-income households are affected by the limited affordable housing opportunities. This condition exists countywide and is not focused in one

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

B) Work with developer to ensure completion and lease up of Runnymede Terrace project, which creates 70 units.

C) Obtain grant funding and administer a Housing Rehabilitation Program to benefit low-income homeowners, providing them with a low interest loans, resulting in improved housing conditions in unincorporated areas of the County. Administer Weatherization Program providing energy efficient improvements to low-income renters and homeowners lowering energy

National Performance Indicator 2.1 Community Improvement and Revitalization Increase in, or safeguarding of threatened opportunities and community resources or services for low-income people in the community as a result of community action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:	1 Number of Projects Projected for Contract Period (#)	2 Number of Projects or Initiatives (#)	3 Number of Opportunities and/or Community Resources Preserved or Increased (#)
A. Accessible "living wage" jobs created or saved from reduction or elimination in the community.			
B. Safe and affordable housing units created in the community	1		
C. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by community action activity or advocacy	1		
D. Accessible and affordable health care services/facilities for low-income people created or saved from reduction or elimination.			
E. Accessible safe and affordable childcare or child development placement opportunities for low-income families created or saved from reduction or elimination.			
F. Accessible "before school" and "after school" program placement opportunities for low-income families created or saved from reduction or elimination.			
G. Accessible new, or expanded transportation resources or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation.			
H. Accessible or increased educational and training placement opportunities or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy and life skill training, ABE/GED, and post-secondary education.			

In the rows below, please include any additional indicators for NPI 2.1 that were not captured above.

09-0901.G.22

GOAL 2: The conditions in which low-income people live are improved.

NPI 2.1: Community Improvement and Revitalization

Problem Statement:

Many low-income households pay more than 30% of their income for shelter, experiencing difficulty in obtaining safe, sanitary affordable rental housing. Other households have achieved stability in rental housing, but are unable to garner sufficient savings to progress to home-ownership via conventional home loans. Of approximately 16,914 rental units in the County, only small percentage are considered low-income, approximately only 1221 are subsidized. Many low and fixed-income households are affected by the limited affordable housing opportunities. This condition exists countywide and is not focused in one primary area.

Program Activities and Delivery Strategies:

B) Work with developer to ensure completion and lease up of Runnymede Terrace project, which creates 70 units.

C) Obtain grant funding and administer a Housing Rehabilitation Program to benefit low-income homeowners, providing them with a low interest loans, resulting in improved housing conditions in unincorporated areas of the County. Administer Weatherization Program, providing energy efficient improvements to low-income renters and homeowners, lowering energy costs while increasing household income available to meet basic living expenses.

Goal 2: The conditions in which low-income people live are improved.
NPI 2.2: Community Quality of Life and Assets

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Many low-income households pay more than 30% of their income for shelter, experiencing difficulty in obtaining safe, sanitary affordable rental housing. Of approximately 16,914 rental units in the County, only small percentage are considered low-income, while only 1221 are subsidized. Many low and fixed-income households are affected by the limited affordable housing opportunities. In El Dorado County, ready access to health care is generally limited to the two incorporated cities. There exists a need to promote availability of basic health services in additional outlying areas of the County. These conditions exist

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

A) Advocate for and facilitate implementation of the Housing Element of the recently adopted El Dorado County General Plan to ensure that low-income and vulnerable populations will be able to access safe and affordable housing opportunities and will have their financial and housing situations improved.

National Performance Indicator 2.2	1	2	3
Community Quality of Life and Assets The quality of life and assets in low-income neighborhoods are improved by community action initiative or advocacy, as measured by <u>one or more</u> of the following:	Number of Programs Projected for Contract Period (#)	Number of Program Initiatives or Advocacy Efforts (#)	Number of Community Assets, Services or Facilities Preserved or Increased (#)
A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets	1		
B. Increase in the availability or preservation of community facilities			
C. Increase in the availability or preservation of community services to improve public health and safety			
D. Increase in the availability or preservation of commercial services within low-income neighborhoods			
E. Increase or preservation of neighborhood quality-of-life resources			

In the rows below, please include any additional indicators for NPI 2.2 that were not captured above.

OPTIONAL

Agency's Narratives Goal 2: The conditions in which low-income people live are improved.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fa (530) 295-2714

(Please note that the data entry spaces below will accept up to 1200 characters, which includes spaces and punctuation. If additional space is needed, continue on a word document and submit both documents via e-mail). **Please narrate activities and outcomes that support one or more of the national indicators in ways that may not be covered by the exact wording of the indicators. Among the kinds of outcomes that are most likely to be described in narratives are:**

1. Activities or programs that relate to special regional needs or conditions.

2. Activities or programs that reflect innovative combinations of services or community interventions.

3. Agency development activities that are not easily categorized or counted by more traditional outcome measures.

GOAL 2: The conditions in which low-income people live are improved.

NPI 2.2: Community Quality of Life and Assets

Problem Statement:

Many low-income households pay more than 30% of their income for shelter, experiencing difficulty in obtaining safe, sanitary affordable rental housing. Of approximately 16,914 rental units in the County, only small percentage are considered low-income, while only 1221 are subsidized. Many low and fixed-income households are affected by the limited affordable housing opportunities. In El Dorado County, ready access to health care is generally limited to the two incorporated cities. There exists a need to promote availability of basic health services in additional outlying areas of the County. These conditions exist countywide and is not focused in one primary area.

Program Activities and Delivery Strategies:

A) Advocate for and facilitate implementation of the Housing Element of the recently adopted El Dorado County General Plan to ensure that low-income and vulnerable populations will be able to access safe and affordable housing opportunities and will have their financial and housing situations improved.

Goal 3: Low Income people own a stake in their community
NPI 3.1: Civic Investment

This page is intentionally left blank

This information will be reported in Part I: Section F, Subsection IV (g) of the CSBG IS Survey.

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

NPI 3.2: Community Empowerment Through Maximum Feasible Participation

Problem Statement: (If additional space is needed, please attach a separate sheet.)

A need exists to ensure participation of low-income individuals on advisory councils that enable them to provide input to decision-making and policy setting boards relative to community action issues. A need exists to provide assistance to low-income individuals who have an idea and ability to initiate a small business, but lack capital and knowledge to implement their idea. The ever-rising cost of housing in El Dorado County renders home acquisition beyond the means of most low-to-moderate income families. These considerations exist countywide and are not focused in any one area.

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

A) Convene monthly meetings of Community Action Council (10 annually) and ensure ongoing participation of at least three low-income individuals.

B) Seek ongoing grant funding and continue to administer EDBG Micro-Enterprise grant to provide technical assistance training and loans to small businesses and entrepreneurs to encourage development or continuation of self-employment.

National Performance Indicator 3.2	1	2
Community Empowerment Through Maximum Feasible Participation	Number of Participants Projected for Contract Period (#)	Number of Low-Income People Achieved in Reporting Period
The number of low-income people mobilized as a direct result of community action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by <u>one or more</u> of the following:		
A. Number of low-income people participating in formal community organizations, government, boards or councils provide input to decision-making and policy setting through community action efforts	15	
B. Number of low-income people acquiring businesses in their community as a result of community action assistance	2	
C. Number of low-income people purchasing their own homes in their community as a result of community action assistance	3	
D. Number of low-income people engaged in non-governance community activities or groups created or supported by community action		

In the rows below, please include any additional indicators for NPI 3.2 that were not captured above.

OPTIONAL

Agency's Narratives Goal 3: Low-income people own a stake in their community.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

(Please note that the data entry spaces below will accept up to 1200 characters, which includes spaces and punctuation. If additional space is needed, continue on a word document and submit both documents via e-mail). **Please narrate activities and outcomes that support one or more of the national indicators in ways that may not be covered by the exact wording of the indicators. Among the kinds of outcomes that are most likely to be described in narratives are:**

1. Activities or programs that relate to special regional needs or conditions.

2. Activities or programs that reflect innovative combinations of services or community interventions.

3. Agency development activities that are not easily categorized or counted by more traditional outcome measures.

GOAL 3: Low-income people own a stake in their community.

NPI 3.2: Community Empowerment through Maximum Feasible Participation

Problem Statement:

A need exists to ensure participation of low-income individuals on advisory councils that enable them to provide input to decision-making and policy setting boards relative to community action issues. A need exists to provide assistance to low-income individuals who have an idea and ability to initiate a small business, but lack capital and knowledge to implement their idea. The ever-rising cost of housing in El Dorado County renders home acquisition beyond the means of most low-to-moderate income families. These considerations exist countywide and are not focused in any one area.

Program Activities and Delivery Strategies:

A) Convene monthly meetings of Community Action Council (9 annually) and ensure ongoing participation of at least three low-income individuals.

B) Seek ongoing grant funding and continue to administer EDBG Micro-Enterprise grant to provide technical assistance training and loans to small businesses and entrepreneurs to encourage development or continuation of self-employment.

C) Administer a CDBG Housing Acquisition Program to assist eligible (80% of median income and below) first-time homebuyer households to obtain deferred payment "silent" second mortgages for "gap" financing and closing cost assistance to facilitate purchase of affordable units. Continue to seek grants and continue to administer Mortgage Credit Certificate, First-time Homebuyer and other programs that facilitate home-ownership by low-income households.

Contractor Name: El Dorado County Department of Human Services
 Contact Person and Title: Sarah De Stefano, Program Coordinator
 Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.gov Fax: (530) 295-2714

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

NPI 4.1: Expanding Opportunities through Community-Wide Partnerships

Problem Statement: (If additional space is needed, please attach a separate sheet.)

A need exists to maintain a strong, viable administrative unit and to establish and maintain partnerships and collaborate with community entities working to expand resources and opportunities in order to achieve family and community outcomes, to encourage participation by the community to identify and evaluate existing services and gaps in services, thereby strengthening the planning and evaluation process, to promote fiscal responsibility; and to provide accurate, responsive service information to clients seeking assistance. As the effectiveness of available service dollars is diminished by a

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

A) The agency will continue to maintain a strong, viable administrative unit and to partner, network, support and collaborate with an array of public and private entities that work towards expansion of resources and opportunities in order to achieve family and community outcomes and endeavor to mobilize and leverage resources and to work towards completion of a full continuum of care for low-income and vulnerable people. Representatives of the agency will continue to attend county-wide meetings and participate on task forces and community focus groups to offer and gather input on issues such as outreach to

National Performance Indicator 4.1	1	2
Expanding Opportunities Through Community-Wide Partnerships	Number of Partnerships Projected for Contract Period #	Number of Organizational Partnerships Achieved in Reporting Period
The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.		
A. Number of organizations community action agencies work with to expand family and community outcomes	29	
B. Number of partnerships that were with faith-based organizations.	17	

In the rows below, please include any additional indicators for NPI 4.1 that were not captured above.

OPTIONAL

Agency's Narratives Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

(Please note that the data entry spaces below will accept up to 1200 characters, which includes spaces and punctuation. If additional space is needed, continue on a word document and submit both documents via e-mail). **Please narrate activities and outcomes that support one or more of the national indicators in ways that may not be covered by the exact wording of the indicators. Among the kinds of outcomes that are most likely to be described in narratives are:**

1. Activities or programs that relate to special regional needs or conditions.

2. Activities or programs that reflect innovative combinations of services or community interventions.

3. Agency development activities that are not easily categorized or counted by more traditional outcome measures.

GOAL 4: Partnerships among supporters and providers of services to low-income people are achieved.

NPI 4.1: Expanding Opportunities through Community-wide Partnerships

Problem Statement:

A need exists to maintain a strong, viable administrative unit and to establish and maintain partnerships and collaborate with community entities working to expand resources and opportunities in order to achieve family and community outcomes, to encourage participation by the community to identify and evaluate existing services and gaps in services, thereby strengthening the planning and evaluation process, to promote fiscal responsibility; and to provide accurate, responsive service information to clients seeking assistance. As the effectiveness of available service dollars is diminished by a combination of inflation and growth in the vulnerable populations, resulting in increased service demands, communities must strengthen their infrastructure to provide the most effective and beneficial programs and services in a fiscally responsible manner to ensure that low-income households are not placed in jeopardy due to lack of knowledge about or limited access to a range of unduplicated support programs. Vulnerable populations are affected throughout El Dorado County. The problem is not limited to specific area(s).

Program Activities and Delivery Strategies:

A) The agency will continue to maintain a strong, viable administrative unit and to partner, network, support and collaborate with an array of public and private entities that work towards expansion of resources and opportunities in order to achieve family and community outcomes and endeavor to mobilize and leverage resources and to work towards completion of a full continuum of care for low-income and vulnerable people. Representatives of the agency will continue to attend county-wide meetings and participate on task forces and community focus groups to offer and gather input on issues such as outreach to special populations, shelter, nutrition needs and planning for low-income and senior services. Agency will continue to work closely with emergency food resources, the Women's Centers (Placerville and South Lake Tahoe), Mercy Housing California, Salvation Army Extension, and many churches in the area to promote provision of necessary services.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

Goal 5: Agencies increase their capacity to achieve results.

NPI 5.1: Broadening the Resource Base

THIS PAGE WAS INTENTIONALLY LEFT BLANK

The totals will be reported in PART I: SECTION F, Subsection I-IV of the CSBG/IS
Survey

Contractor Name: El Dorado County Department of Human Services
 Contact Person and Title: Sarah De Stefano, Program Coordinator
 Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.1: Independent Living

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Many vulnerable senior and disabled people are unaware of or are unable to access services and programs that are in place in the community that would stabilize their situation and make it possible for these people to remain safe and comfortable in their own homes. With growth in the vulnerable populations, resulting in increased service demands, communities must strengthen their infrastructure to provide the most effective and beneficial programs and services in a manner to ensure that vulnerable households are not placed in jeopardy due to lack of knowledge about or limited access to a range of unduplicated

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

A) & B) The Agency will administer an array of programs including Linkages, Multi-Purpose Senior Services Program, Senior Nutrition (congregate and home-delivered meals), a Representative Payee Program, In Home Support Services, Family Caregiver Support Program, Public Guardian, and Adult Protective Services. Agency staff will continue to network with providers of community resources and receive and make appropriate referrals to support and improve each individual's situation while endeavoring to help them achieve or retain their independence to the extent possible.

National Performance Indicator 6.1	1	2
Independent Living	Number of Individuals Projected to be Served for Contract Period (#)	Number of Vulnerable Individuals Living Independently in Reporting Period (#)
The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:		
A. Senior Citizens	450	
B. Individuals with Disabilities	525	

In the rows below, please include any additional indicators for NPI 6.1 that were not captured above.

GOAL 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.1: Independent Living

Problem Statement:

Many vulnerable senior and disabled people are unaware of or are unable to access services and programs that are in place in the community that would stabilize their situation and make it possible for these people to remain safe and comfortable in their own homes. With growth in the vulnerable populations, resulting in increased service demands, communities must strengthen their infrastructure to provide the most effective and beneficial programs and services in a manner to ensure that vulnerable households are not placed in jeopardy due to lack of knowledge about or limited access to a range of unduplicated support programs. Vulnerable populations are affected throughout El Dorado County. The problem is not limited to specific area(s).

Program Activities and Delivery Strategies:

A) & B) The Agency will administer an array of programs including Linkages, Multi-Purpose Senior Services Program, Senior Nutrition (congregate and home-delivered meals), a Representative Payee Program, In Home Support Services, Family Caregiver Support Program, Public Guardian, and Adult Protective Services. Agency staff will continue to network with providers of community resources and receive and make appropriate referrals to support and improve each individual's situation while endeavoring to help them achieve or retain their independence to the extent possible.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.2: Emergency Assistance

Problem Statement: (If additional space is needed, please attach a separate sheet.)

A) Hunger exists in El Dorado County among the low-income population of all ages. The continuing need for adequate nutrition is attributed in part to the high cost of living and unemployment or limited employment opportunities and the incidence of mental or physical disabilities that restrict the ability of individuals to obtain and/or prepare nutritious foods.

B) Low-income, senior and disabled households throughout El Dorado County frequently encounter energy crisis situations.

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)

A) Agency will make appropriate referrals to the Food Bank of El Dorado County and the established network of food closets, to the Upper Room Dining Hall for hot meals daily and to the many churches that participate in the distribution of food.

B) Administer a Low-Income Home Energy Assistance Program, enabling eligible households to receive available assistance

National Performance Indicator 6.2 Emergency Assistance The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:	1 Unit of Measurement	2 Number of Households Projected to be Served for Contract Period (#)	3 Number of Household Seeking Assistance in Reporting Period (#)	4 Number of Households Receiving Assistance in Reporting Period (#)
A. Food - Indicate your state's unit of measurement, such as bags, packages, cartons, families, individuals, etc.	(Number of times Household Received Food)	8,750		
B. Emergency payments to vendors, including Fuel and Energy bills and Rent/Mortgage payments	Households	170		
C. Temporary shelter	Households			
D. Emergency medical care	Households			
E. Protection from violence	Households			
F. Legal assistance	Households	1,400		
G. Transportation	Households			
H. Disaster Relief	Households			
I. Clothing	Households			

In the rows below, please include any additional indicators for NPI 6.2 that were not captured above.

GOAL 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.2: Emergency Assistance

Problem Statement:

- A) Hunger exists in El Dorado County among the low-income population of all ages. The continuing need for adequate nutrition is attributed in part to the high cost of living and unemployment or limited employment opportunities and the incidence of mental or physical disabilities that restrict the ability of individuals to obtain and/or prepare nutritious foods.
- B) Low-income, senior and disabled households throughout El Dorado County frequently encounter energy crisis situations. Limited housing availability combined with severe weather extremes creates a potential for high-energy costs and energy loss, affecting those segments of the population least able to financially manage excessive utility bills. Limited choices for utility providers is also a factor in high energy costs; there is no natural gas available in most of El Dorado County, and residents must rely on electricity, wood, propane and oil to meet their heating and cooling needs.
- F) The elderly on fixed incomes find it a challenge to acquire assistance with legal concerns in emergency situations relating to such issues as deteriorating health, exploitation and property disputes. These concerns affect the majority of low-income, disabled and senior households. The problem exists countywide and is not limited to specific area(s).

Program Activities and Delivery Strategies:

- A) Agency will make appropriate referrals to the Food Bank of El Dorado County and the established network of food closets, to the Upper Room Dining Hall for hot meals daily and to the many churches that participate in the distribution of food.
- B) Administer a Low-Income Home Energy Assistance Program, enabling eligible households to receive available assistance in reducing their household energy costs through the HEAP application process, including the use of Fast Track dollars for extreme emergencies, or through the wood, propane and oil application process, with Energy Assistance payments to vendors. Coordinate with Salvation Army to enable low-income households at-risk of imminent shut off of their utilities to access REACH resources to retain utility service.
- F) Administer Legal Assistance Program for the senior population, offering legal advice and services on such issues as health care (including health care directives), exploitation and property disputes. Refer non-seniors to Legal Services of Northern California or to a free legal service at the local courthouse to enable them to access no-cost assistance.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.3: Child and Family Development

Problem Statement: (If additional space is needed, please attach a separate sheet.)

Hunger exists in El Dorado County among the low-income population, from infants to senior citizens. The continuing need for nutrition assistance is attributed in part to unemployment and limited employment opportunities for blue-collar workers. Given ongoing inflation, the "working poor", including a large percentage of the growing minority populations are often unable to stretch their limited resources to obtain nutritious sustenance. Additionally, families with young children and single parents living on fixed or low incomes with nutritionally at-risk infants or children often require assistance to alleviate hunger

Program Activities and Delivery Strategies: (If additional space is needed, please attach a separate sheet.)
 Administer Supplemental Food Program for Women, Infants and Children (WIC), providing a revolving caseload of 2500 eligible clients with nutrition assessment and education, promoting safe, economical and healthy use of available foods along with monthly food-specific vouchers to promote good nutrition and reduce the incidence of nutritional at-risk infants, children and pregnant and lactating women, conducting outreach and referral efforts and enhancing client access by maintaining bi-lingual staff and by scheduling evening and weekend client appointments that allow working clients to access services.

National Performance Indicator 6.3 Child and Family Development The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by <u>one or more</u> of the following:	1 Number of Participants Projected to be served for Contract Period (#)	2 Number of participants Enrolled in Program(s) in Reporting Period (#)	3 Number of Participants Expected to Achieve Outcome in Reporting Period (#)	4 Number of Participants Achieving Outcome in Reporting Period (#)	5 Percentage of Participants Achieving Outcome in Reporting Period (%)
A. INFANTS & CHILDREN					
1. Infants and children obtain age appropriate immunizations, medical and dental care					
2. Infant and child health and physical development are improved as a result of adequate nutrition	2750				
3. Children participate in pre-school activities to develop school readiness skills					
4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade					

B. YOUTH

1. Youth improve physical health and development					
2. Youth improve social/emotional development					
3. Youth avoid risk-taking behavior for a defined period of time					
4. Youth have reduced involvement with criminal justice system					
5. Youth increase academic, athletic or social skills for school success by participating in before or after school programs					

C. PARENTS AND OTHER ADULTS

1. Parents and other adults learn and exhibit improved parenting skills					
2. Parents and other adults learn and exhibit improved family functioning skills					

In the rows below, please include any additional indicators for NPI 6.3 that were not captured above.

OPTIONAL

Agency's Narratives Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

Contractor Name: El Dorado County Department of Human Services
Contact Person and Title: Sarah De Stefano, Program Coordinator
Phone: (530) 621-6369 E-mail: sdestefano@co.el-dorado.ca.us Fax: (530) 295-2714

(Please note that the data entry spaces below will accept up to 1200 characters, which includes spaces and punctuation. If additional space is needed, continue on a word document and submit both documents via e-mail). **Please narrate activities and outcomes that support one or more of the national indicators in ways that may not be covered by the exact wording of the indicators. Among the kinds of outcomes that are most likely to be described in narratives are:**

1. Activities or programs that relate to special regional needs or conditions.

2. Activities or programs that reflect innovative combinations of services or community interventions.

3. Agency development activities that are not easily categorized or counted by more traditional outcome measures.

GOAL 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.3: Child and Family Development

Problem Statement:

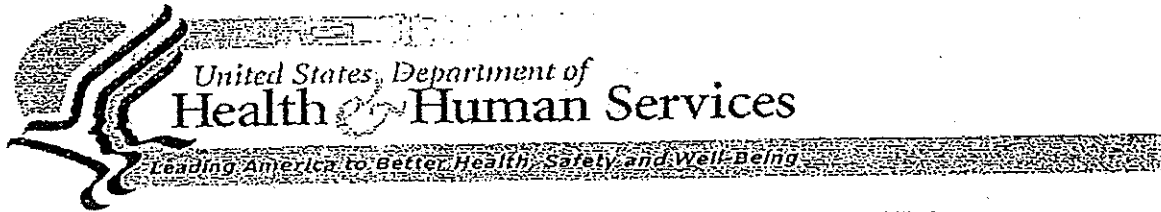
Hunger exists in El Dorado County among the low-income population, from infants to senior citizens. The continuing need for nutrition assistance is attributed in part to unemployment and limited employment opportunities for blue-collar workers. Given ongoing inflation, the "working poor", including a large percentage of the growing minority populations are often unable to stretch their limited resources to obtain nutritious sustenance. Additionally, families with young children and single parents living on fixed or low incomes with nutritionally at-risk infants or children often require assistance to alleviate hunger and obtain proper nutrition. This problem exists countywide and is not limited to any primary area(s).

Program Activities and Delivery Strategies:

Administer Supplemental Food Program for Women, Infants and Children (WIC), providing a revolving caseload of 2,500 eligible clients with nutrition assessment and education, promoting safe, economical and healthy use of available foods along with monthly food-specific vouchers to promote good nutrition and reduce the incidence of nutritional at-risk infants, children and pregnant and lactating women, conducting outreach and referral efforts and enhancing client access by maintaining bi-lingual staff and by scheduling evening and weekend client appointments that allow working clients to access services.

ATTACHMENT III

Exhibit A, Scope of Work, Attachment III, U. S. Department of Health and Human Services, Community Service Block Grant 2009, Terms and Conditions, is attached and hereby incorporated by this reference, if applicable. Contractor shall adhere to all applicable provisions in Exhibit A, Attachment III, of this Agreement.



**ADMINISTRATION FOR CHILDREN AND FAMILIES
COMMUNITY SERVICES BLOCK GRANT**

TERMS AND CONDITIONS

FISCAL YEAR 2009

October 1, 2008 – September 30, 2009

By acceptance of this award, the State, Tribe or Territory agrees to comply with the terms and conditions detailed below. Failure to comply with these terms and conditions may result in the loss of Federal funds and may be considered grounds for the suspension or termination of this grant.

This award is subject to the following terms, conditions and provisions:

PROGRAM STANDARDS

1. The provisions of Public Law 105-285, Title II – Community Services Block Grant Program, Subtitle B – Community Services Block Grant Program of the Community Services Block Grant Act, the provision of the current approved Community Services Block Grant State plan, including all approved amendments or revisions.

ADMINISTRATIVE REQUIREMENTS

2. The following regulations from Title 45 of the Code of Federal Regulations (CFR):

45 CFR Part 16 – Procedures of the Departmental Grant Appeals Board;
45 CFR Part 30 – Claims Collection;
45 CFR Part 76 – Debarment and Suspension from Eligibility for Financial Assistance (Nonprocurement);
45 CFR Part 80 – Nondiscrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services, Effectuation of Title VI of the Civil Rights Act of 1964;
45 CFR Part 81 – Practice and Procedure for Hearings Under Part 80 of this Title;
45 CFR Part 84 – Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance;
45 CFR Part 86 – Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance;
45 CFR Part 87 – Equal Treatment for Faith-Based Organizations;
45 CFR Part 91 – Nondiscrimination on the Basis of Age in HHS Programs or Activities Receiving Federal Financial Assistance;
45 CFR Part 93 – New Restrictions on Lobbying;
45 CFR Part 96 – Block Grants;
45 CFR Part 97 – Consolidation of Grants to the Insular Areas;
45 CFR Part 100 – Intergovernmental Review of Department of Health and Human Services Programs and Activities.

3. The following Circulars from the Office of Management and Budget (OMB).
OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations and the Single Audit Act of 1984, as amended.

4. Direct Federal grants, sub-awards, or contracts under this program shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under this program. Regulations pertaining to the prohibition of Federal funds for inherently religious activities can be found on the HHS website at: <http://www.os.dhhs.gov/fbci/waisgate21.pdf>.
5. Federal grant funds provided under this award may not be used by the grantee or any sub-grantee to support lobbying activities to influence proposed or pending Federal or State legislation or appropriations. This prohibition is related to the use of Federal grant funds and is not intended to affect an individual's right or that of any organization, to petition Congress, or any other level of Government, through the use of other resources. (See 45 CFR Part 93.)
6. In accordance with Public Law 103-333, the "Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 1995," the following provisions are applicable to this grant award:

Section 507: "Purchase of American-Made Equipment and Products - It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made."

Section 508: "When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all States receiving Federal funds, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources."

7. In accordance with Part C of Public Law 103-227, the "PRO-KIDS Act of 1994," smoking may not be permitted in any portion of any indoor facility owned or regularly used for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments. Federal programs include grants, cooperative agreements, loans and loan guarantees, and contracts. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions or facilities and used for inpatient drug and alcohol treatment.

The above language must be included in any subawards that contain provisions for children's services and that all subgrantees shall certify compliance accordingly. Failure to comply with the provisions of this law may result in the imposition of a civil monetary penalty of up to \$1,000 per day.

8. This award is subject to the requirements listed in the enclosed terms and conditions. This award is subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to: http://www.acf.hhs.gov/grants/award_term.html. The use of Federal funds from this award constitutes the State's acceptance of these terms and conditions.

SUB-RECIPIENTS AND VENDORS UNDER GRANTS

Sub-Recipients/Sub-Grantees and Vendors/Contractors

9. **Sub-recipient/Sub-grantee and vendor determinations.** States are required to determine recipient type when sub-granting or contracting using Federal funds. Recipient type includes sub-grantees/sub-recipients,

vendors and contractors. OMB Circular A-133 establishes the standards for determining the difference between a sub-grantee and a vendor, based on the substance of the relationship with the State, rather than the form of the agreement.

A recipient is considered a sub-grantee and is subject to OMB Circular A-133 if it meets the following conditions:

- a. Determines who is eligible to receive what Federal financial assistance;
- b. Has its performance measured against whether the objectives of the Federal program are met;
- c. Has responsibility for programmatic decision making;
- d. Has responsibility for adherence to applicable Federal program compliance requirements;
- e. Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity;

A recipient is considered a vendor and is not subject to OMB Circular A-133 if it meets the following conditions:

- a. Provides the goods and services within normal business operations;
- b. Provides similar goods or services to many different purchasers;
- c. Operates in a competitive environment;
- d. Provides goods or services that are ancillary to the operation of the Federal program;
- e. Is not subject to compliance requirements of the Federal program.

10. No organization may participate in this project in any capacity or be a recipient of Federal funds designated for this project if the organization has been debarred or suspended or otherwise found to be ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension." (See 45 CFR 92.35.) States must include a similar term and/or condition for all sub-awards or contracts awarded under this program. Prior to issuing subawards or contracts under this grant, the state must consult the ineligible parties list to ensure that organizations under funding consideration are not ineligible. The list is available on the Web at <http://www.epls.gov>.
11. The State is responsible for monitoring grant, sub-grant/sub-recipient and contract supported activities to assure compliance with Federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function and activity. (See 45 CFR 92.40.)
12. States are required to advise sub-grantees/sub-recipients of requirements imposed on them by Federal laws, regulations, and the provisions of grant agreements or contracts as well as any supplemental requirements imposed by the State. These include grant administrative requirements and cost principles according to recipient type. For example, nonprofit subrecipients are subject to the cost principles at OMB Circular A-122; educational institution subrecipients are subject to those at OMB Circular A-21; and commercial organization vendors or subcontractors are subject to the cost principles under 48 CFR Part 31.
13. States must ensure that sub-recipients and sub-grantees expending more than \$500,000 or more in Federal awards during the sub-recipient/sub-grantee's fiscal year have an audit in compliance with the requirements of OMB Circular A-133.

FINANCIAL AND PROGRAM PROGRESS REPORTING

14. If the grantee is on an accrual accounting system, services must be provided on or before September 30, 2010; and liquidated on or before December 29, 2010; and final report is due on or before December 29, 2010. If

the grantee is on a cash accounting system, services must be expended on or before September 30, 2010 and final report is due on or before December 29, 2010.

15. Grantees shall adhere to a provision of law under the Consolidated Appropriations Act of 2005 which requires that to the extent FY 2009 CSBG funds are distributed by a State to an eligible entity, and have not been expended by such eligible entity, they shall remain with such eligible entity for carryover and expenditure into the next fiscal year. If FY 2009 funds are carried forward by such eligible entity into FY 2010, those funds must be fully expended and services provided on or before September 30, 2010.
16. In accordance with Action Transmittal OA-ACF-AT-01-05 (January 25, 2005), in lieu of paper copies, States are encouraged to submit their periodic financial reporting forms electronically, via the ACF On-Line Data Collection (OLDC) system.

States that elect to submit these reports in writing must send an original signature copy of Form SF-269A to:
Administration for Children and Families
Division of Mandatory Grants
370 L'Enfant Promenade, SW - 6th Floor East
Washington, DC 20447

17. Program progress reports should be submitted to:
Office of Community Services
Administration for Children and Families
U.S. Department of Health of Human Services
370 L'Enfant Promenade, SW
Washington, DC 20447

PAYMENT ARRANGEMENTS

18. Payments under this grant will be made through the Department of Health and Human Services' Payment Management System (PMS). The State must comply with requirements imposed by the PMS on-line system. Please direct any questions concerning grant payments to the payment office at 1-877-614-5533.

NOTE: The U.S. Government Accountability Office (GAO) maintains FraudNET, a system for reporting allegations of fraud, waste and abuse under Federal grants and cooperative agreements. Reports are kept confidential; you need not provide your name. Information provided through the Internet web site is secure and all information is safeguarded against unauthorized disclosure.

To report the possible misuse of federal funds, the E-mail address is fraudnet@gao.gov; the fax number is 202-512-3086 and the mailing address is GAO FraudNET, 441 G Street N.W., Washington, D.C. 20548. When you submit allegations, please provide as much detailed information as possible.

ATTACHMENT IV

Management Memo (MM 08-11) Safeguarding Against and Responding to a Breach of Security Involving Personal Information (Office of Information Security and Privacy Information, Management Memo 08-11).

MANAGEMENT MEMO

SUBJECT: SAFEGUARDING AGAINST AND RESPONDING TO A BREACH OF SECURITY INVOLVING PERSONAL INFORMATION	NUMBER: MM 08-11
	DATE ISSUED: NOVEMBER 6, 2008
REFERENCES: CALIFORNIA INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTIONS 1798 ET. SEQ); STATE ADMINISTRATIVE MANUAL (SAM) SECTIONS 5100 AND 5300 THROUGH 5399	EXPIRES: UNTIL RESCINDED
	ISSUING AGENCY: OFFICE OF INFORMATION SECURITY AND PRIVACY PROTECTION

BACKGROUND AND PURPOSE

Government Code section 11549.3 charges the Office of Information Security and Privacy Protection (OISPP) with responsibility for the creation, updating, and publishing of information security and privacy policies, standards, and procedures directing state agencies to effectively manage security and risk for information and information technology (as defined).

The purpose of this Management Memo (Memo) is to announce a new policy requirement and procedural directive related to a state agency's response to a breach of security involving personal information. It also serves to reinforce state agency responsibilities under existing law and state policy for safeguarding personal information collected, used, maintained, and/or held in custodianship in conjunction with the administration of state programs and services, and to clarify existing security incident management policies and procedures.

Safeguarding against and preventing security breaches involving personal information is essential to maintaining the public's trust in government. Failure to protect personal information can place people in jeopardy in a variety of ways, including identity theft, damage to reputation, and physical injury.

While ultimate responsibility rests with agency heads, every employee plays a role in the protection of personal information. This Memo should receive the widest possible distribution within state agencies, and each organization and individual must understand their specific responsibilities for implementing and complying with information security and privacy requirements and procedures.

GENERAL POLICY

Longstanding policies articulated in State Administrative Manual (SAM) and law, including but not limited to SAM Sections 5100 and 5300 through 5399, and the California Information Practices Act (IPA) of 1977 (Civil Code sections 1798 et seq.), require all state agencies to establish:

- Ongoing data inventory and classification procedures for all records held by the agency. (SAM section 5320.5 and Chapter 1600).
- Administrative, technical, and physical safeguards to appropriately ensure the security (confidentiality, integrity, and availability) of those records and to protect against anticipated threats or hazards that could result in any injury. (SAM sections 5310 and 5325, and Civil Code section 1798.21).
- Rules of conduct for any person involved in the design, development, operation, use, disclosure, maintenance, and destruction of records

STATE ADMINISTRATIVE MANUAL

containing personal information. (Management Memo 06-12, SAM sections 5310 and 5325, and Civil Code section 1798.20).

- Ongoing training and instruction to any persons involved in the design, development, operation, use, disclosure, maintenance, and destruction of records containing personal information about the rules and consequences of noncompliance. (SAM section 5325 and Civil Code section 1798.20).
- Encryption of portable computing devices and media that contain confidential, personal and sensitive information. (SAM section 5345.2)
- Use of the American National Standards Institute (ANSI) management information standards and the Federal Information Processing Standards (FIPS) in their information management planning and operations. (SAM section 5100). The ANSI standards are national consensus standards that provide guidance on a variety of issues central to the public and industrial sectors. Under the Information Technology Management Reform Act (Public Law 104-106), the Secretary of Commerce approves standards and guidelines that are developed by the National Institute of Standards and Technology (NIST) for Federal computer systems. These standards and guidelines are issued by NIST as FIPS for use government-wide. NIST develops FIPS when there are compelling Federal government requirements such as for security and interoperability and there are no acceptable industry standards or solutions. Guidance documents and requirements for implementing these standards include, without limitation, those related to the validation of cryptographic modules found in encryption products used for the protection of confidential, personal, or sensitive information.
- A process to ensure individuals are notified when a security breach involving their personal information has occurred. (SAM section 5350.3 and Civil Code section 1798.29).

~~PERSONAL INFORMATION DEFINED~~

The IPA broadly defines personal information in Civil Code section 1798.3 as "any information that is maintained by the agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by or attributed to, the individual."

For purposes of both the legal and state policy breach notification requirements, the subset of personal information as defined in Civil Code section 1798.29, subsections (e) through (f) is used and hereinafter referred to as "notice-triggering" information.

~~EXISTING SAFEGUARD REQUIREMENTS~~

The following are particularly important requirements within the existing legal and policy framework that state agencies should already have implemented to safeguard personal information:

1. Rules and Controls Limiting Access. Agencies must ensure that their access control policies and practices support the principle of "least privilege" and appropriate segregation of duties. Least privilege refers to the granting of employee access to personal information or systems based

STATE ADMINISTRATIVE MANUAL

on a legitimate business need to access the information in the performance of their job duties (refer to Chapter 16, of NIST SP-800-12, An Introduction to Computer Security). Agencies must also implement controls to detect and deter misuse, unauthorized access, or access that exceeds the limits of an employee's authorized access. For example, an employee may, by virtue of his or her job-related duties, have access to all records in a particular database or system, including records that may be held by the agency about those personally known to him or her (e.g., friends, family members, neighbors, etc.). However, that employee should not access those records unless specifically assigned a job-related duty in support of the processing or handling of such records. Agencies must also employ, to the extent practical, technical controls to automate compliance with these requirements. (SAM sections 5100, 5335.1, 5335.2, 5340, and 20050).

2. Employee Training. Before permitting access to agency information and information systems, agencies must train all employees (including managers and contracted staff) about their privacy and security responsibilities. Supervisors must also be trained about their role and responsibilities for providing day-to-day instruction, training and supervision of staff regarding their obligation to safeguard personal information. Thereafter, agencies must train employees at least once annually to ensure employees continue to understand their responsibilities. Additional or advanced training should also be provided commensurate with increased responsibilities or changes in duties. Both initial and refresher training must cover acceptable rules of behavior and the consequences when rules are not followed. For agencies implementing telecommuting or telework and other authorized remote access programs, training must include the rules of such programs. (SAM section 5325 and Civil Code section 1798.20).
3. Signed Acknowledgements. Agencies must ensure that all individuals with authorized access to personal information sign an acknowledgement at least once each year to demonstrate both their receipt of the rules and requisite training, as well as their understanding of the consequences for failure to follow the rules. (SAM section 5325).
4. Written Agreements with Third Parties. Agencies must ensure that when personal information is shared with third parties, it is either specifically permitted or required by law and that a written agreement is executed between the parties. The written agreement is to identify the applicable Federal and state laws, as well as all departmental policies, standards, procedures, and security controls that must be implemented and followed by the third party to adequately protect the information. The agreement must also require the third party, and any of its sub-contractors with whom they are authorized to share the data, to share only the minimum personal information necessary, to securely return or destroy the personal information upon expiration of the contract, and to provide immediate notification to the state agency, and to individuals when appropriate, whenever there is a breach of personal information. (SAM sections 5310 and 5320.3, and Civil Code section 1798.19).
5. Encryption. Agencies must encrypt all confidential, personal, or sensitive data on mobile devices or media whenever that type of information is

STATE ADMINISTRATIVE MANUAL

authorized for use on such devices or media, using only NIST certified cryptographic modules (FIPS 140-2 validated products). (SAM sections 5100 and 5345.2).

6. Review and Reduce Current Personal Information Holdings. Agencies must review current holdings of all records containing personal information and ensure to the maximum extent practical, such holdings are reduced to the minimum necessary for the proper performance of a documented agency function. (Civil Code section 1798.14).
7. Review Current Forms and Other Methods of Personal Information Collection. Agencies must review all current forms, paper, and any other methods (e.g., online or telephony) used to collect personal information, to ensure the specific authority or authorization to collect such information exists, and appropriate notice is included on or with any such forms. (Civil Code section 1798.17).
8. Eliminate Unnecessary Collection and Use. When in the course of such reviews, the collection of personal information is no longer necessary for an authorized business purpose, agencies shall ensure that its collection is discontinued, and that the forms or any other methods used to collect this information are properly retired, revised, or replaced. (Civil Code section 1798.14).
9. Explore Alternatives to the Use of Social Security Numbers. Many recently enacted privacy laws prohibit the use of Social Security numbers as personal identifiers in state systems, or specifically require truncation when they must be used. All state agencies should participate in government-wide efforts to explore alternatives to the use of Social Security numbers as a personal identifier for both recipients of state programs and services, and state employees. (Civil Code sections 1798.14 and 1798.85).
10. Review Internal Controls to Safeguard Personal Information. Agencies must ensure that their risk management practices and ongoing assessments and reviews include evaluations of the adequacy of controls implemented to safeguard personal information held by the agency, and its contractors, and its other custodians with whom data may be shared. Internal controls include "Information Technology" controls, as well as administrative controls. (SAM sections 5305 to 5305.2). Further, in accordance with the California Financial Integrity and State Manager's Accountability Act (FISMA) of 1983 (Government Code Sections 13400 through 13407), "internal accounting and administrative controls are the methods through which reasonable assurances can be given that measures adopted by state agency heads to safeguard assets, check accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed." To ensure the state FISMA requirements are fully complied with, the head of each state agency must conduct an internal review and report on the adequacy of its internal controls by December 31, of each odd numbered year to the Legislature, the State Auditor, the Governor, the Director of the Department of Finance, and the State Library. (SAM section 20060). An agency's review of personal information holdings, personal information collection methods, and internal controls to

STATE ADMINISTRATIVE MANUAL

safeguard personal information may be completed in conjunction with the agency's biennial FISMA review.

EXISTING INCIDENT MANAGEMENT AND BREACH RESPONSE REQUIREMENTS

Existing state law and state policy require agencies to carry out the following incident management and breach response responsibilities:

1. Promptly investigate incidents involving the improper dissemination of information, or the loss, damage, or misuse of information assets. Incident management includes the formulation and adoption of an incident management plan that provides for the timely assembly of appropriate staff and their response to, reporting on, and recovery from a variety of incidents. Incident management also includes the application of lessons learned, and the determination of, and implementation of appropriate corrective actions to prevent or mitigate the risk of similar occurrences. (SAM sections 5350 and 8643).
2. Immediately report any security incident, including any breach of personal information as defined by Civil Code Section 1798.3 (includes non notice-triggering personal information) to the California Highway Patrol's Emergency Notification and Tactical Alert Center (ENTAC) at (916) 657-8287. (SAM sections 5350.2 and 8643, and Government Code section 14613.7).
3. Notify individuals when a breach of their personal information was, or is reasonably believed to have been acquired by an unauthorized person. Civil Code section 1798.29, sub-sections (e) through (f) specifically require notification to individuals in breaches of unencrypted computerized personal information of a specified type (which is referred to as "notice-triggering" information). Notice-triggering information includes the first name or first initial and last name in combination with any one or more of the following data elements:
 - a. Social Security number.
 - b. Driver's license number or California Identification Card number.
 - c. Account number, credit or debit card number, in combination with any required security code, access code, or password that would permit access to an individual's financial account.
 - d. Medical information (as defined).
 - e. Health insurance information (as defined).

While Civil Code section 1798.29 focuses on computerized data elements, the current state policy requires notification when a breach of an individual's personal information involves these same "notice-triggering" data elements or otherwise exposes individuals to substantial risk of harm, regardless of the data medium. (SAM section 5350.3).

4. Prepare and submit a written follow-up Agency Security Incident Report (SIMM 65C form) to OISPP, within ten (10) business days from the date of initial reporting to ENTAC, that describes what occurred, what steps or actions were taken to mitigate the risk of recurrence, and the cost associated with both the incident and any corrective action. (SAM sections 5350.3 and 5360.1).

STATE ADMINISTRATIVE MANUAL

NEW BREACH RESPONSE REQUIREMENTS AND PROCEDURAL DIRECTIVE

Effective immediately, any breach notification issued by a state agency, or the agency's contractor or custodian, in conjunction with a breach of state owned information assets must be submitted to OISPP for review and approval prior to its dissemination or release to affected individual(s). This process will help ensure consistency and clarity of notifications, as well as the accuracy of the privacy protection procedures and instructions provided in the notification.

While the decision to notify individuals ultimately rests with agency heads; when a breach occurs, agencies must seek guidance from, and consult with, the OISPP, as well as the agency's Legal Office, Information Security Officer and Privacy Officer/Coordinator regarding the means by which individuals will be notified.

In support of this policy, and to ensure state agencies understand their responsibilities for making notification to individuals affected by a breach, OISPP has also issued a new State Information Management Manual (SIMM) document as a procedural directive, entitled SIMM 65D-Personal Information Breach Notification: Requirements and Decision-Making Criteria for State Agencies. This document outlines the current breach notification requirements; the requirements for developing a protocol for internal notifications; identifies decision making criteria that must be included in a decision making procedure; and, provides a comprehensive checklist and notification templates to assist state agencies with response to a breach of personal information.

ROLES AND RESPONSIBILITIES

All state agencies and their employees, including contractors, state data custodians, and volunteer service workers, are required to adhere to these policies. Furthermore, state agencies are required to acknowledge the extent to which they are meeting these requirements in their Agency Risk Management and Privacy Program Certification, submitted annually to the OISPP. (SAM sections 5300.3, 5315.1, 5320 through 5320.4, and 5360.1).

"Agencies" includes all state agencies, departments, offices, boards, commissions, institutions, and special organizational entities unless otherwise specifically exempted by law or state policy reference. (SAM section 5300.2).

SAM AND SIMM UPDATES

Changes to the SAM will be forthcoming and will appear in the next update of the SAM. To see the substance of this policy change, you may refer to the following described documents on the OISPP Web site at: www.infosecurity.ca.gov:

1. Advance Copy of Changes to State Administrative Manual sections 5320.2, 5320.3, 5320.5, 5350, and 5350.4
2. SIMM 65D-Security Breach Involving Personal Information: Requirements and Decision Making Criteria for State Agencies

QUESTIONS

Questions regarding this Memo and related documents may be directed to OISPP at (916) 445-5239 or by email at Security@oispp.ca.gov

SIGNATURE

Original signed by Michael Saragoza, Undersecretary
For Rosario Marin, Secretary

Rosario Marin, Secretary
State and Consumer Services Agency

ATTACHMENT V

2009 Supplemental Audit Guide

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

P.O. Box 1947
Sacramento, CA 95812-1947
(916) 341-4200
(916) 341-4203 (FAX)
(916) 327-6318 (TDD)



To: All Community Service Block Grant, Low-Income Home Energy Assistance Program, Department of Energy, and Other Program Contractors

From: CSD Audit Services Unit

Date: October 17, 2008

2009 SUPPLEMENTAL AUDIT GUIDE**Introduction**

The purpose of this 2009 Supplemental Audit Guide is to provide further instructions for the independent auditor and/or CPA firms that perform audits of agencies that contract with the California Department of Community Services and Development (CSD) to deliver programs. As specified in each program contract, all independent auditors and CPA firms must follow this Supplemental Audit Guide if the Contractor being audited is funded totally or in part by CSD contracts. This guide is not intended to be an auditing procedures manual but rather to further instruct the independent auditor and CPA firm in testing certain costs identified by CSD as needing more detailed disclosure.

The primary focus of this guide is auditing and reporting on specific items of costs funded by CSD contracts. The procedures outlined in this guide either clarify and complement or, exceed the requirements of Office of Management and Budget (OMB) Circular A-133.

Auditor's Judgment

Auditors performing the work according to this Supplemental Audit Guide must continue to exercise professional judgment. The auditor shall follow the procedures included in this audit guide unless, in the exercise of his or her professional judgment, the auditor determines that other procedures are more appropriate in particular circumstances. The auditor, however, must justify in writing any change from the audit procedures suggested by this Supplemental Audit Guide. The audit report must contain assurances that a review for compliance with OMB Circulars A-87 and A-122 was conducted.

Selected Items of Cost**Inventory System (All Contracts)**

1. The independent auditor or CPA firm must gather evidence to validate the inventory listed as an asset on the balance sheet.

2. The closeout report on CSD contracts requires an inventory listing on all items purchased with CSD contract funds.
3. Inventories listed on the balance sheet and on the CSD closeout reports must be verified that they physically exist, are owned (not leased), and are in operable condition.
4. Inventory listings must be accurately compiled in the inventory accounts. Inventories are to be properly stated at cost (except when the market rate is lower).

Subcontracts (All Contracts)

1. Subcontracts must be arms-length agreements and free of actual or apparent conflicts of interest. Validate and report to CSD. CSD-funded agencies should be aware that contracting with wholly owned subsidiaries might not be considered arms-length agreements. This is especially true where both boards have similar members.
2. Contractors are required to substantiate that all costs expended under subcontracts are allowable and allocable to the particular program pursuant to the same standards as the costs expended directly by the Contractor under the specific CSD contract. Document the Contractor's system of ensuring this level of accountability, and report to CSD.

Weatherization Crew Hours (LIHEAP and DOE Contracts)

Document the methodology the Contractor uses to capture the actual hours each weatherization worker spends on each house, specific work performed and address. If this data is maintained in an automated system, obtain and review system documentation.

1. Verify that the monthly report summaries used to report weatherization crew hours provide accurate information by selecting and testing a representative sample.
2. Trace the monthly closeout report totals for weatherization labor hours to the Contractor's monthly report summaries and reconcile this to the supporting source documents.

Prohibition on Lobbying

The independent auditor shall verify that no CSD contract funds were used to influence or attempt to influence an officer or employee of a state or federal government agency, or a member of Congress or the State Legislature, in connection with the awarding of any contract, grant, loan, or cooperative agreement.

System of Internal Control

Audits must include an examination of the systems of internal control. Internal control systems must be established to ensure compliance with laws and regulations affecting the expenditure of State and/or Federal funds, financial transactions and accounts, and the agency's process for submission of Contractor billings submitted to CSD for the performance of the contract.

The Contractor's accounting system must provide for accumulating and recording of expenditures by cost category (budget line items) shown in the approved budget. The independent auditor or CPA firm must give an opinion on the internal controls of the Contractor being reviewed.

Administrative Cost Cap

CSD contracts have an administrative cost cap. Administrative costs charged to each CSD contract must not exceed this cost. In addition, other Federal funds must not be used to exceed the total administrative cost cap charged to the CSD contract, unless specifically allowed by Federal statute.

Use of Indirect Cost Rates or Other Indirect Cost Methodology

1. A Federally Approved Indirect Cost Allocation Rate may be used for selected items of costs up to the maximum allowed by the CSD contract's administrative cost rate. Costs claimed for a specific line item in the budget cannot be reported as direct costs and also as indirect costs.
2. Validate the indirect cost rate or methodology and the application of the rate used by the Contractor.
3. Ensure compliance with OMB Circulars A-87 and A-122.

Basis for Allocation of Costs

1. The independent auditor or CPA firm must identify the Contractor's basis for allocating costs to CSD contracts. Costs charged to CSD contracts must be allocable, allowable, and based on actual expenses incurred by the Contractor for the CSD contract. Costs charged to the CSD contract must also have an approved contract budget line item.
2. Ensure Compliance with OMB Circulars A-87 and A-122.

Going Concern and Subsequent Events

The independent auditor or CPA firm must provide a "positive assurance" statement that any (significant) subsequent events, related directly or indirectly, that occurred after the final closeout report and single agency-wide audit are submitted to CSD do not materially affect the closeout report, as submitted by the Contractor. Additionally, the independent auditor or CPA firm must provide "positive assurance" whether or not the Contractor will continue as a going concern. Some examples are litigation settlement, bankruptcy, mergers, large loans, cash flow problems, etc.

Representation Letter

A Representation Letter between the independent auditor or CPA firm and the Contractor must be forwarded to CSD. The Representation Letter must be signed by the Contractor's controller (or equivalent) and either the Chair of the Audit Committee if it exists or the Executive Director.

Engagement Letter

In the event a Contractor is more than one month late in submitting the required independent audit report, the Contractor shall submit one copy of the finalized, signed Engagement letter between the Contractor and the Contractor's independent auditor or CPA firm.

Supplemental Statements

Beginning with the 1994 program year, CSD contract provisions have required the financial and compliance audit to include supplemental statements. These supplemental statements must be included as part of the package submitted to CSD with the single agency-wide audit for each fiscal year. CSD uses the above information to reconcile the audited costs to the costs reported by the Contractor.

The supplemental statements should be based on the budget line items contained in the contract. The supplemental statement must include the contract budget line items, expenditures for each budget line item by fiscal year, total audited costs and total reported expenses by budget line item. Please refer to Attachment Nos. 1 and 2 for examples of the format to use for the required supplemental statements.

Auditing Standards and Reports

The financial and compliance audit report shall contain the following supplemental financial information: a combined statement of revenue and expenditures for each contract that presents, by budget line item, revenue and expenditures for the audit period and a description of the methodology used to allocate and claim indirect costs and any administrative cost pools.

Testing of Transactions

A sufficient number of items should be selected for review that represent all material costs categories. The audit should determine whether:

- a. Contractor's internal control over the contract is effective and working as intended;
- b. Reported program expenditures are allowable and allocable;
- c. Reported expenditures conform to funding or program limitations or exclusions;
- d. Reported expenditures are not charged to, or reimbursed by, other programs or funding sources;
- e. Transactions are properly approved, reported, and supported by source documents;
- f. Reported expenditures were incurred within the appropriate contract term; and
- g. Contractor complied with applicable laws, regulations, and contract requirements.

- LIHEAP Contracts -

ACME COMMUNITY DEVELOPMENT, INC.
 SUPPLEMENTAL STATEMENT OF REVENUE AND EXPENDITURES
 CSD CONTRACT NO. 94BD-50XX (WX)
 FOR THE PERIOD JAN. 1, 1994 THROUGH DEC. 31, 1994

	JAN 1, 1994 through JUNE 30, 1994	JUL 1, 1994 through DEC 31, 1994	Total Audited Costs	Total Reported Expenses	Total Budget
REVENUE					
Grant Revenue	\$144,660	\$127,192	\$271,852		\$271,852
Interest Income	\$197	\$260	\$457		
Other Income			\$0		
Deferred Interest Earned	\$7,088		\$7,088		
Deferred Revenue Earned	\$34,004	\$39,219	\$73,223		
Deferred Grant Revenue	(\$39,416)	(\$76,422)	(\$115,838)		
Deferred Interest		(\$260)	(\$260)		
Total Revenue:	\$146,533	\$89,989	\$236,522		\$271,852
EXPENDITURES (1)					
Administration (8%)					
Salaries & Wages	\$4,458	\$2,378	\$6,836	\$7,196	\$10,300
Fringe Benefits	\$1,734	\$865	\$2,599	\$2,799	\$3,048
Facilities	\$1,680	\$1,229	\$2,909	\$2,909	\$3,000
Utilities					\$300
Equipment	\$796		\$796	\$2,150	
Telephone - Communications	\$107	\$67	\$174	\$269	\$700
Travel	\$1,401	(\$414)	\$987	\$987	\$1,500
Accounting					
Audit Costs	\$370	\$260	\$630	\$1,000	\$1,500
Insurance - Bonding			\$0		
Office Supplies	\$109	\$185	\$294	\$295	\$800
Miscellaneous	\$75	\$134	\$209	\$444	\$600
Total Administration Costs:	\$10,730	\$4,704	\$15,434	\$18,048	\$21,748
Program (92%)					
Outreach	\$6,850	\$6,850	\$13,700	\$12,041	\$13,800
Intake	\$8,835	\$8,545	\$17,380	\$23,262	\$28,800
Client Education & Counseling	\$7,462	\$2,569	\$10,031	\$11,041	\$12,100
Client Assistance	\$6,324	\$4,901	\$11,225	\$11,041	
Assessment					\$12,100
Salaries/ Wages/Labor	\$40,410	\$36,668	\$77,078	\$85,073	\$101,100
Fringe Benefits	\$16,802	\$16,550	\$33,352		
Weatherization Materials	\$17,250	\$6,304	\$23,554	\$23,554	\$13,084
Maintenance/Repair			\$0	\$297	\$500
Equipment Lease/Purchase/Rent	\$9,796	\$1,355	\$11,151	\$10,704	\$15,800
Travel			\$0	\$626	\$1,300
Storage	\$15,541		\$15,541	\$15,541	\$20,220
Space			\$0		
Insurance - Vehicular	\$5,424		\$5,424	\$9,126	\$21,300
Supplies	\$109	\$185	\$294		\$7,500
Utilities			\$0		\$1,500
Other	\$1,000	\$1,358	\$2,358	\$9,078	\$1,000
Total Program Costs:	\$135,803	\$85,285	\$221,088	\$211,383	\$250,104
Total Costs:	\$146,533	\$89,989	\$236,522	\$229,431	\$271,852

(1) Please note that the supplemental statements should be based on the budget line items contained in the contract and will need to be adjusted to incorporate the line items applicable to specific contracts.

- LIHEAP Contracts - Supplemental Audit Guide Attachment No. 2

ACME COMMUNITY DEVELOPMENT, INC.
 SUPPLEMENTAL STATEMENT OF REVENUE AND EXPENDITURES
 CSD CONTRACT NO. 94BD-50XX (ECIP)
 FOR THE PERIOD JAN. 1, 1994 THROUGH DEC. 31, 1994

	JAN 1, 1994 through JUNE 30, 1994	JUL 1, 1994 through DEC 31, 1994	Total Audited Costs	Total Reported Expenses	Total Budget
REVENUE					
Grant Revenue	\$207,835	\$269,800	\$477,635		\$477,635
Interest Income	\$414		\$414		
Other Income		\$260	\$260		
Deferred Interest Earned	\$3,089		\$3,089		
Deferred Revenue Earned					
Deferred Grant Revenue		(\$3,089)	(\$3,089)		
Deferred Interest		(\$674)	(\$674)		
Total Revenue:	\$211,338	\$266,297	\$477,635		\$477,635
EXPENDITURES (1)					
Administration (7%)					
Salaries & Wages	\$6,251	\$6,477	\$12,728	\$12,728	\$18,800
Fringe Benefits	\$1,889	\$2,181	\$4,070	\$4,070	\$5,634
Facilities	\$3,695	\$4,692	\$8,387	\$8,387	\$2,000
Utilities					\$600
Equipment					
Telephone - Communications	\$809	\$913	\$1,722	\$1,722	\$600
Travel	\$112	\$787	\$899	\$899	\$1,500
Accounting					
Audit Costs	\$684	\$772	\$1,456	\$1,456	\$2,500
Insurance - Bonding					
Office Supplies	\$481	\$544	\$1,025	\$1,025	\$800
Miscellaneous	\$521	\$588	\$1,109	\$1,109	\$1,000
Total Administration Costs:	\$14,442	\$16,954	\$31,396	\$31,396	\$33,434
Program (93%)					
Outreach				\$8,159	\$9,000
Intake				\$54,868	\$54,075
Client Education & Counseling				\$19,780	\$17,000
Client Assistance	\$155,107	\$205,401	\$360,508	\$360,508	\$356,226
Assessment					
Salaries/ Wages/Labor	\$27,911	\$28,915	\$56,826		
Fringe Benefits	\$10,745	\$12,407	\$23,152		
Contract Services	\$1,069	\$387	\$1,456		
Equipment Lease/Purchase/Rent	\$163	\$11	\$174		
Travel					
Space	\$529	\$671	\$1,200		
Miscellaneous				\$2,924	
Insurance - bonding **					\$1,900
Supplies **					\$2,000
Telephone Equip/System **					\$2,000
Program Operating Expenses					
Other	\$1,373	\$1,550	\$2,923		
Total Program Costs:	\$196,897	\$249,342	\$446,239	\$446,239	\$444,201
Total Costs:	\$211,339	\$266,296	\$477,635	\$477,635	\$477,635

* Miscellaneous specified

(1) Please note that the supplemental statements should be based on the budget line items contained in the contract and will need to be adjusted to incorporate the line items applicable to specific contracts.