Human Welfare and Community Action Commission

AGENDA
Wednesday, September 20, 2017
7:00 PM
South Berkeley Senior Center, 2939 Ellis St.
Berkeley, CA 94703

Preliminary Matters

1. Roll Call
2. Public Comment

Update/Action Items
The Commission may take action related to any subject listed on the agenda, except where noted.

Berkeley Community Action Agency Board Business

3. Approve Minutes from the 7/19/2017 Regular Meeting (Attachment A)

4. Election of Low-Income Representative (Candidate Howard)

5. Discuss Strategic Planning Training Process – Staff

6. Review City of Berkeley FY 2016 Single Audit Report (Attachment B)

7. Review Community Services Block Grant (CSBG) Organizational Standards Report (Attachment C)

8. Review City Of Berkeley Funded Agency Program And Financial Reports – Staff
   A. FY 18 Community Agencies Report Review Schedule (Attachment D)
   B. McGee Avenue Baptist Church (Attachment E)
   C. Multicultural Institute (Attachment F)

Other Discussion Items

9. Discuss Community Meeting Locations – Commissioner Sood

10. Update on the Closure of Alta Bates Hospital – Commissioner Omodele

11. Discuss Berkeley Homeless Policy – Commissioner Omodele

12. Update on HWCAC Recommendations to City Council to Change BMC Section 3.78.030, 040, and 050 Related to Commission Procedures – Commissioner Sood

13. Update on Air Quality in West Berkeley – Commissioner Sood

14. Update on the Development of an Office of the Anti-Displacement Advocate – Commissioner Sood

15. Discuss Skills Training Programs for Low-income Residents – Commissioner Sood

16. Discuss Extended Early Childcare – Commissioner Sood

17. Discuss Ways to Increase Accessibility of Banking and Business Loan for Low-income Residents – Commissioner Sood

18. Review Latest City Council Meeting Agenda – All (Attachment F)

19. Announcements

20. Future Agenda Items

Adjournment

Attachments
A. Draft Minutes of the 7/19/2017 Meeting
B. City of Berkeley FY 2016 Single Audit Report
C. CSBG Organizational Standards Report
D. FY 18 Community Agencies Report Review Schedule
E. McGee Avenue Baptist Church Program and Financial Reports
F. Multicultural Institute Program and Financial Reports
G. Review City Council Meeting Agenda at City Clerk Dept. or
   http://www.cityofberkeley.info/citycouncil

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

This meeting is being held in a wheelchair accessible location. To request a disability-related accommodation(s) to participate in the meeting, including auxiliary aids or services, please contact the Disability Services specialist at 981-6418 (V) or 981-6347 (TDD) at least three business days before the meeting date. **Please refrain from wearing scented products to this meeting.**

Secretary:
Wing Wong
Health, Housing & Community Services Department
510-981-5428
wywong@CityofBerkeley.info

Mailing Address:
Human Welfare and Community Action Commission
Wing Wong, Secretary
2180 Milvia Street, 2nd Floor
Berkeley, CA 94704

Human Welfare and Community Action Commission

Draft Minutes
Wednesday, July 19, 2017
7:00 PM
South Berkeley Senior Center, 2939 Ellis St.
Berkeley, CA 94703

Preliminary Matters

1. Roll Call: 7:10PM
   Present: Dunner, Sood, Bookstein, Mutombu, Omodele, Earl
   Absent: Orevi, Sarkodee-Adoo
   Quorum: 5 (Attended: 6)
   Staff Present: Kristen Lee and Wing Wong

2. Public Comment: 1 (for item #7)

Update/Action Items
The Commission may take action related to any subject listed on the agenda, except where noted.

Berkeley Community Action Agency Board Business

3. Approve Minutes from the 6/21/2017 Regular Meeting
   Action: M/S/C (Dunner/Sood) to approve the 6/21/17 minutes.
   Vote: Ayes – Dunner, Sood, Bookstein, Mutombu, Omodele; Noes – None; Abstain – Earl; Absent – Orevi, Sarkodee-Adoo.

4. Election of Low-Income Representative
   Candidate Dru Howard was interested in being elected as a representative of low-income individuals, but she missed this meeting. Continued to the September 20, 2017 meeting.

5. Discuss Strategic Planning Training Process
   CalCAPA trainer Kip Bowmar gave an introductory presentation on strategic planning process. He reviewed the history of community action and goals. He also presented information on Community Action Organizational Standards and Results Oriented Management and Accountability. Commissioners will discuss the time and date for a full-day strategic planning training at the next meeting. Continued to the September 20, 2017 meeting.

6. Review City Of Berkeley Funded Agency Program And Financial Reports – Staff
   Commissioners reviewed and discussed the program and financial reports for (A) Family Violence Law Center's Domestic Violence and Homeless Prevention program and (B) J-Sei senior services.

Other Discussion Items

7. Update on the Closure of Alta Bates Hospital
   Speaker: 1

Commissioners discussed writing to other Commissions working on overlap issues to see if we can collaborate. Continued to the September 20, 2017 meeting.

8. Discuss Berkeley Homeless Policy
   Continued to the September 20, 2017 meeting.

9. Update on the Development of an Office of the Anti-Displacement Advocate
   Continued to the September 20, 2017 meeting.

10. Discuss Skills Training Programs for Low-income Residents
    Continued to the September 20, 2017 meeting.

11. Discuss Extended Early Childcare
    Continued to the September 20, 2017 meeting.

12. Discuss Ways to Increase Accessibility of Banking and Business Loan for Low-income Residents
    Continued to the September 20, 2017 meeting.

13. Discuss Community Meeting Locations
    Continued to the September 20, 2017 meeting.

14. Update on Air Quality in West Berkeley
    Continued to the September 20, 2017 meeting.

15. Update on HWCAC Recommendations to City Council to Change BMC Section 3.78.030, 040, and 050 Related to Commission Procedures
    Continued to the September 20, 2017 meeting.

16. Review Latest City Council Meeting Agenda
    Continued to the September 20, 2017 meeting.

Adjournment

Adjourned at: 9:30 pm

Minutes approved on: _____

Commission Secretary: __Wing Wong___

City of Berkeley

Berkeley, California

Single Audit Report

For the year ended June 30, 2016

BADAWI & ASSOCIATES
CERTIFIED PUBLIC ACCOUNTANTS

City of Berkeley
Single Audit Report

Table of Contents

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

To the Honorable Mayor and Members of City Council
    of the City of Berkeley
Berkeley, California

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, the business-type activities, the discretely presented component units, each major fund, and the aggregate remaining fund information of City of Berkeley, California (City), as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the City's basic financial statements, and have issued our report thereon dated December 27, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the City's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the City's internal control. Accordingly, we do not express an opinion on the effectiveness of the City's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or, significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

To the Honorable Mayor and Members of City Council
    of the City of Berkeley
Berkeley, California
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Compliance and Other Matters

As part of obtaining reasonable assurance about whether City's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.
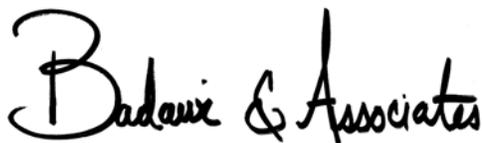
Badawi and Associates
Certified Public Accountants
Oakland, California
December 27, 2016

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH MAJOR PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE**

To the Honorable Mayor and Members of City Council
    of the City of Berkeley
Berkeley, California

Report on Compliance for Each Major Federal Program

We have audited the City of Berkeley, California (City)'s compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the City's major federal programs for the year ended June 30, 2016. The City's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the City's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the City's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the City's compliance.

Opinion on Each Major Federal Program

In our opinion, the City, complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.

To the Honorable Mayor and Members of City Council
    of the City of Berkeley
Berkeley, California
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Report on Internal Control Over Compliance

Management of the City is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the City's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the City's internal control over compliance.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of the City, as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the City's basic financial statements. We issued our report thereon dated December 27, 2016, which contained unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements.

To the Honorable Mayor and Members of City Council
  of the City of Berkeley
Berkeley, California
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The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

Report on Supplementary Schedules Required by the State of California and County of Alameda

We have audited the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the City, as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the City's basic financial statements. We issued our report thereon dated December 27, 2016, which contained unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying supplementary schedules on pages 17 to 19 are presented for purposes of additional analysis as required by the State of California and County of Alameda and are not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary schedules on pages 17 to 19 are fairly stated in all material respects in relation to the basic financial statements as a whole.

Badawi and Associates
Certified Public Accountants
Oakland, California
March 10, 2017, except for the schedule of expenditures of federal awards and supplementary schedules, which are as of December 27, 2016

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City of Berkeley
Schedule of Expenditures of Federal Awards
For the year ended June 30, 2016

Grantor Agency and Grant Title	Federal Catalog Number	Pass-through/ Federal Award Number	Program Expenditures	Subrecipient Payments
U.S. Department of Agriculture:				
Pass-through State Department of Health Services:				
Special Supplemental Nutrition Program for Women, Infants and Children	10.557	15-10060	$ 443,203	$ -
Child Nutrition Cluster				
Pass-through State Department of Education:				
Summer Food Service Program for Children	10.559	04021-SFSP-01	47,823	-
Subtotal Child Nutrition Cluster			47,823	-
Total U.S. Department of Agriculture			491,026	-
U.S. Department of Commerce:				
Economic Development Cluster				
Direct Program:				
Business Economic Development Administration Revolving Loan Fund	11.307	07-39-02523	702,892	-
Subtotal Economic Development Cluster			702,892	-
Total U.S. Department of Commerce			702,892	-
U.S. Department of Housing and Urban Development:				
CDBG-Entitlement Grants Cluster				
Direct Programs:				
Community Development Block Grant	14.218	B-16-MC-06-0008	1,573,168	1,180,071
Community Development Block Grant - Program Income	14.218	B-16-MC-06-0008	703,362	-
Subtotal CDBG-Entitlement Grants Cluster			2,276,530	1,180,071
Direct Programs:				
Shelter Plus Care Program	14.238	CA0827C9T020900/HOAP, CA0827C9T021401/HOAP, CA0116L9T021407/TRA, CA0116L9T021508/TRA, CA0121L9T021407/RCD, CA0121L9T021508/RCD, CA0749L9T021304/COACH,CA0749L9T021405/COACH,CA0108L9T021407/Pathway,CA0108L9T021508/Pathway	3,261,360	-
Pass-through Alameda County:				
Shelter Plus Care Program	14.238	CA0085L9T02130X/TRA, CA0085L9T021508/TRA	295,589	-
Subtotal CFDA 14.238			3,556,949	-
Direct Programs:				
Emergency Shelter Grants Program	14.231	E-15-MC-06-0008	256,579	237,554
Direct Programs:				
Home Investment in Affordable Housing	14.239	M-15-MC-06-0202	973,345	28,115
Home Investment in Affordable Housing (Program Income)	14.239	M-15-MC-06-0202	360,101	-
Subtotal CFDA 14.239			1,333,446	28,115
Total U.S. Department of Housing and Urban Development			7,423,504	1,445,740
U.S. Department of Transportation:				
Highway Planning and Construction Cluster				
Pass-through the State Department of Transportation:				
Value Pricing Pilot Program	20.205	VPPL-5057 (035)	703,404	-
Berkeley Transportation Action Plan (B-TAP)	20.205	CML-5057(039)	142,467	-
Pass-through Association of Bay Area Governments and MTC:				
Adeline Corridor Specific Plan	20.205	Not Available	316,853	-
Subtotal Highway Planning and Construction Cluster			1,162,724	-
Highway Safety Cluster				
Pass-Through the State of California - Office of Traffic Safety:				
Selective Traffic Enforcement Program	20.600	PT15141	63,315	-
Selective Traffic Enforcement Program	20.600	PT16103	129,354	-
Subtotal Highway Safety Cluster			192,669	-
Pass-Through the State of California - Office of Traffic Safety:				
Avoid the 21	20.608	Not Available	1,477	-
Total U.S. Department of Transportation			1,356,870	-

See accompanying Notes to Schedule of Expenditures of Federal Awards

City of Berkeley
Schedule of Expenditures of Federal Awards, Continued
For the year ended June 30, 2016

Grantor Agency and Grant Title	Federal Catalog Number	Pass-through/ Federal Award Number	Program Expenditures	Subrecipient Payments
U.S. Department of Health and Human Services:				
Pass-Through the California Department of Health and Human Services:				
Retail Food Safety Program Plan	93.103	5U18FD004690-02	64,658	-
U.S.FDA-Local Retail Food Safety	93.103	1U18FD00574-01	12,764	-
		Subtotal CFDA 93.103	77,422	-
Aging Cluster				
Pass-Through County of Alameda Area Agency on Aging:				
Special Programs for the Aging - Title III, Part C - Nutrition Services	93.045	900161	58,125	-
Special Programs for the Aging - Title III, Part B - Senior Center Activities	93.044	900161	21,129	-
		Subtotal Aging Cluster	79,254	-
Medicaid Cluster				
Pass-Through State of California, Department of Health Care Services:				
Ground Emergency Medical Transportation Services Reimbursement Program	93.778	Not Available	250,000	-
Medi-Cal Targeted Case Management-Linkages	93.778	60-1318	507,305	-
Medi-Cal Targeted Case Management-Public Health	93.778	60-1318	141,295	-
Medi-Cal Targeted Case Management-MAA	93.778	13-90023	174,073	-
Medi-Cal Administrative Activities (MAA)	93.778	13-90023	47,145	-
Pass-Through Alameda County Children & Family Services:				
Services to Enhance Early Development	93.778	900161	91,628	-
		Subtotal Medicaid Cluster	1,211,446	-
Pass-Through State of California, Department of Health Care Services:				
Child Health and Disability Prevention	93.994	Not Available	103,622	-
Medi-Cal Early and Periodic Screening, Diagnosis, and Treatment	93.994	Not Available	123,714	-
Health Care Program for Children in Foster Care	93.994	Not Available	33,972	-
Maternal and Child Health Services Block Grant	93.994	2015-59	278,854	-
		Subtotal CFDA 93.994	540,162	-
Pass-Through State of California, Department of Health Care Services:				
Public Health Emergency Preparedness: CDC Base Allocation	93.069	14-10493	174,015	-
Emergency Preparedness-Cities Readiness Initiative (CRI)	93.069	14-10493	19,773	-
		Subtotal CFDA 93.069	193,788	-
Pass-Through State of California, Department of Community Services and Development:				
Community Services Block Grant	93.569	15F-2001	169,862	79,662
Community Services Block Grant	93.569	16F-5001	119,476	79,662
		Subtotal CFDA 93.569	289,338	159,324
Pass-Through California Family Planning Council:				
Family Planning Services	93.217	421-5320-71209-14, 15	118,595	-
Pass- Through County of Alameda Area Agency on Aging:				
Special Programs for the Aging - Title III, Part E - Family Caregiver	93.052	900161	31,561	-
Pass-Through State of California, Department of Health Care Services:				
Tuberculosis - Real Time Allotment	93.116	1U52PS004656-01	18,564	-
Childhood Immunization Grants	93.268	15-10413	41,315	-
Nutrition Education	93.945	13-20490	276,694	-
Ebola Preparedness and Response	93.817	15-10347	3,868	-
Pass-Through Alameda County Public Heath Department				
Expanded HIV Testing in Public Health Clinical Setting	93.343	900161	60,965	-
Total U.S. Department of Health and Human Services			2,942,972	159,324
U.S. Department of Justice:				
Pass-Through County of Alameda:				
FY15 Justice Assistance Grant	16.738	Not Available	35,834	-
Total U.S. Department of Justice			35,834	-
U.S. Department of Interior:				
Pass-Throught California Office of Historic Preservation				
2014 Certified Local Government Grant	15.XXX	P14AF00134	17,235	-
Total U.S. Department of Interior			17,235	-
Total Federal Expenditures			$ 12,970,333	$ 1,605,064

See accompanying Notes to Schedule of Expenditures of Federal Awards

City of Berkeley
Single Audit Report
Notes to Schedule of Expenditures of Federal Awards
For the year ended June 30, 2016

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1. REPORTING ENTITY

The financial reporting entity, as defined by Governmental Accounting Standards Board (GASB), consists of the primary government, which is the City of Berkeley (City), organizations for which the primary government is financially accountable, and other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the reporting entity's financial statements to be misleading or incomplete. The City of Berkeley Rent Stabilization Board is the only component unit of the City.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

Funds received under the various grant programs have been recorded within the general, special revenue, capital projects, and enterprise funds of the City. The City utilizes the modified accrual basis of accounting for the general, special revenue, and capital project funds. The accrual basis of accounting is used for the enterprise fund. The accompanying Schedule of Expenditures of Federal Awards (Schedule) is presented in accordance with the requirements of the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

Schedule of Expenditures of Federal Awards

The accompanying Schedule presents the activity of all Federal financial assistance programs of the City. Federal financial assistance received directly from Federal agencies as well as Federal financial assistance passed through the State of California and other agencies are included in the Schedule. The Schedule of Expenditures of Federal Awards was prepared from only the accounts of various grant programs and, therefore, does not present the financial position or results of operations of the City.

3. INDIRECT COSTS

The City did not elect to use the 10% de minimis indirect cost rate.

City of Berkeley
Single Audit Report
Schedule of Findings and Questioned Costs
For the year ended June 30, 2016

Section I – Summary of Auditors' Results

Financial Statements

Types of auditors' report issued: Unmodified

Internal control over financial reporting:

- Material weakness(es) identified?   No

- Significant deficiency(ies) identified?   None noted

Any noncompliance material to the financial statements noted: No

Federal Awards

Internal control over major programs:

- Material weakness(es) identified?   No

- Significant deficiency(ies) identified?   None noted

Type of auditors' report issued on compliance for major programs :   Unmodified

Any audit findings disclosed that are required to be reported in
accordance with section 200.516(a):   No

Identification of major programs:

CFDA Number(s)	Name of Federal Program or Cluster	Expenditures
14.238	Shelter Plus Care Program	$ 3,556,949
20.205	Highway Planning and Construction Cluster	1,162,724
93.569	Community Service Block Grant	289,338
	Total Expenditures of All Major Federal Programs	$ 5,009,011
	Total Expenditures of Federal Awards	$ 12,970,333
	Percentage of Total Expenditures of Federal Awards	39%

Dollar threshold used to distinguish between type A and type B program: $750,000

Auditee qualified as low-risk auditee under
section 200.520?   Yes

City of Berkeley
Single Audit Report
Schedule of Findings and Questioned Costs, Continued
For the year ended June 30, 2016

Section II –Current Year Findings

A. Current Year Findings – Financial Statement Audit

No financial statement findings in the current year.

B. Current Year Findings and Questioned Costs – Major Federal Award Program Audit

No current year findings or questioned costs.

City of Berkeley
Single Audit Report
Schedule of Findings and Questioned Costs, Continued
For the year ended June 30, 2016

Section III- Prior Year Findings

A. Prior Year Findings – Financial Statement Audit

No financial statement findings in the prior year.

B. Prior Year Findings and Questioned Costs – Major Federal Award Program Audit

2015-001 Reporting, Control Activities (Significant Deficiency) and Compliance

Programs:
Community Development Block Grant (CFDA Number 14.218, US Department of Housing, Direct Program, Award Number B-14-MC-06-0008)

Emergency Solutions Grant (CFDA 14.231, US Department of Housing, Direct Program, Award Number E-14-MC-06-008)

Criteria:
Per grant requirements, Federal Financial Reports (SF-425) are required to be submitted on a quarterly basis. Quarterly reports shall be submitted no later than 30 days after the end of each reporting period.

Per U.S. Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, Subpart C – Auditees, Section .300 – Auditee Responsibilities

(b)   Maintain internal control over Federal programs that provide reasonable assurance the auditee is managing Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements that could have a material effect on each of the Federal programs.

Condition:
The City was unable to provide SF-425 quarterly reports due for the above mentioned programs. The reports due for the quarters ending March 31, 2015 and June 30, 2015 were unavailable.

Cause:
The City experienced turnover in the position responsible for filing and maintaining copies of fiscal reports.

Context and Effect:
The City could not demonstrate that it was in full compliance with the reporting compliance requirement of the program.

Questioned Costs:
No questioned costs were noted.

Recommendation:
We recommend that the City cross-train employees to perform functions required by the program to ensure program continuity and compliance requirements are met during times of either employee absence or employee turnover.

City of Berkeley
Single Audit Report
Schedule of Findings and Questioned Costs, Continued
For the year ended June 30, 2016

Section III- Prior Year Findings, Continued

B.   Prior Year Findings and Questioned Costs – Major Federal Award Program Audit, Continued

2015-001 Reporting, Control Activities (Significant Deficiency) and Compliance, Continued

View of Responsible Officials and Planned Corrective Action:

The City filed the report late once it was discovered it was not filed. All new staff working on these grants have incorporated the completion and filing of the quarterly reports into their work plans to ensure timely submission.

Status:
Implemented.

2015-002 Reporting, Control Activities (Significant Deficiency) and Compliance

Programs:
Community Services Block Grant (CFDA Number 93.569, US Department of Health and Human Services, Passed through the State of California Department of Community Services and Development, Award Number 14F-3001)

Criteria:
Per Office of Management and Budget Circular A-87, personnel costs should be supported by time studies or personnel activities reports/functional time cards.

Per U.S. Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, Subpart C – Auditees, Section .300 – Auditee Responsibilities

(b)   Maintain internal control over Federal programs that provide reasonable assurance the auditee is managing Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements that could have a material effect on each of the Federal programs.

Condition:
For certain payroll charges tested, we identified payroll charges that exceeded our recalculation based on the respective employee pay rate and hours worked per their completed functional time card. It was noted that the City had recorded payroll reallocation adjustments (in addition to the regular payroll postings recorded) that were supported by approved payroll adjustment forms, however documentation was not available to demonstrate that the additional costs recorded were for grant related activities.

Cause:
The City experienced turnover in fiscal positions responsible for grant administration and payroll. The City's documentation for such payroll adjustments did not include information sufficient to determine whether the payroll costs were for grant related activities.

City of Berkeley
Single Audit Report
Schedule of Findings and Questioned Costs, Continued
For the year ended June 30, 2016

Section III- Prior Year Findings, Continued

B.   Prior Year Findings and Questioned Costs – Major Federal Award Program Audit, Continued

2015-002 Reporting, Control Activities (Significant Deficiency) and Compliance, Continued

Context and Effect:
The City could not demonstrate that it was in full compliance with the allowable costs and cost principles compliance requirement of the program.

Questioned Costs:
Auditor estimated total questioned costs to be $20,107, based on the total amount of payroll adjustments recorded to the program.

Recommendation:
We recommend that the City cross-train employees to perform functions required by the program to ensure program continuity and compliance requirements are met during times of either employee absence or employee turnover.

View of Responsible Officials and Planned Corrective Action:
The City has put corrective measures in place to make sure this does not occur in the future. HHCS has implemented stronger measures to ensure that invoiced figures match the time represented on the functional timesheets. As such, the department moved the responsibility for this duty to the Associate Management Analyst (AMA) position monitoring the Housing and Community Services budget. The AMA will at least quarterly review the contract balance and invoice to ensure the expenses are being recorded correctly. We are also revising the actual functional timesheet so that it will be easier for the payroll clerk to catch and verify variances between the functional timesheets and the payroll system. A checklist has been created to document the steps so that future changes in personnel will not impact the process. Additionally, the City is in the process of implementing a new Enterprise Resource Planning (ERP) which will replace the current antiquated financial system that is currently being utilized. We will make sure we are billing the grantor based on the actual hours worked to accurately reflect effort on the project.

Status:
Implemented.

SUPPLEMENTAL SCHEDULES

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CITY OF BERKELEY
COMMUNITY ACTION AGENCY
SUPPLEMENTAL STATEMENT OF REVENUE AND EXPENDITURES
CFDA 93.569
CSBG CONTRACT 15F-2001 for CY 2015
FOR THE PERIOD January 1, 2015 THROUGH December 31, 2015
Grant Award Thru December 31, 2015

	January 1, 2015 through June 30, 2015	July 1, 2015 through December 31, 2015	Total Audited Cost	Total Reported Rev./Exp. Contract -To-Date	Total Budget
REVENUE					
Grant Revenue	121,382	128,877	250,259	250,259	250,276
Accrued Revenue	-	-	-	-	-
Total Revenue	121,382	128,877	250,259	250,259	250,276
EXPENDITURES					
Personnel Costs					
Salaries & Wages	25,380	25,100	50,480	50,480	52,711
Fringe Benefits	16,948	14,714	31,662	31,662	38,241
Other Expense	-			-	-
Sub-total Personnel Costs	42,328	39,814	82,142	82,142	90,952
Non-personnel Costs					
Equipment	-		-	-	-
Subcontractors	79,662	79,662	159,324	159,324	159,324
Sub-total Non-personnel Costs	79,662	79,662	159,324	159,324	159,324
Total Costs	121,990	119,476	241,466	241,466	250,276
Revenue over (under) costs	(608)	9,401	8,793	8,793	

CITY OF BERKELEY
COMMUNITY ACTION AGENCY
SUPPLEMENTAL STATEMENT OF REVENUE AND EXPENDITURES
CFDA 93.569
CSBG CONTRACT 16F-5001 for CY 2016
FOR THE PERIOD January 1, 2016 THROUGH June 30, 2016
Grant Award Thru December 31, 2016

	January 1, 2016 through June 30, 2016		Total Audited Cost	Total Reported Rev./Exp. Contract -To-Date	Total Budget
REVENUE					
Grant Revenue	114,060		114,060	114,060	265,577
Accrued Revenue	55,802		55,802	55,802	-
Total Revenue	169,862	-	169,862	169,862	265,577
EXPENDITURES					
Personnel Costs					
Salaries & Wages	53,773		53,773	53,773	62,822
Fringe Benefits	36,427		36,427	36,427	31,760
Other Expense	-		-	-	-
Sub-total Personnel Costs	90,200	-	90,200	90,200	94,582
Non-personnel Costs					
Equipment	-		-	-	-
Subcontractors	79,662		79,662	79,662	166,440
Sub-total Non-personnel Costs	79,662	-	79,662	79,662	166,440
Total Costs	169,862	-	169,862	169,862	261,022
Revenue over (under) costs	-	-	-	-	

Confirmation of Audit of Alameda County Programs
for Community Based Organizations (CBO)

Contractor Name:_____CITY OF BERKELEY_____

Supervising Department:____BHSVC_____   Audit Review Coordinator: _____

Type of Audit Required: _Financial Audit Report_

If additional Sheets included, please check box
Audit Period Ended: __6/30/16__

Program Name	County Dept. (ex. BHCS, HCSA, PH)	Master & Procurement Contract Number(s) MC-PC #	Contract Period (begin & end date mm/dd/yy)	Contract Amount (amount awarded to CBO)	Expenditures (amount spent by CBO)	Amount Received from County
Congregate Meal Program	SSA-Adult, Aging & Medic-Cal Services	900161-12804	7/1/2015 - 6/30/2016	$ 33,015	$ 33,015	$ 25,775
Home Delivered Meal Program	SSA-Adult, Aging & Medic-Cal Services	900161-12803	7/1/2015 - 6/30/2016	$ 36,417	$ 36,435	$ 31,888
Information & Assistance Services	SSA-Adult, Aging & Medic-Cal Services	900161-12764	7/1/2015 - 6/30/2016	$ 47,006	$ 47,006	$ 35,474
Family Caregiver Support Program	SSA-Adult, Aging & Medic-Cal Services	900161-12773	7/1/2015 - 6/30/2016	$ 35,049	$ 35,081	$ 23,131
Senior Center Activities	SSA-Adult, Aging & Medic-Cal Services	900161-12772	7/1/2015 - 6/30/2016	$ 25,843	$ 25,844	$ 20,383
Transition to Independence Program (TIP)	Behavioral Health Care Services BHSVC	900161-12049	7/1/2015 - 6/30/2016	$ 537,854	$ 506,122	$ 312,990
MSA Public Health Infrastructure	Public Health Department PHSVC	900161-12284	7/1/2015 - 8/30/2016	$ 33,704	$ 33,714	$ -
School Based Health Center	HCSA CMSP#465	900161-10611	7/1/2015 - 6/30/2016	$ 170,250	$ 160,368	$ 68,228
Measure A-School Based Health Services	Public Health Department PHSVC	900161-12287	7/1/2015 - 6/30/2016	$ 180,835	$ 178,618	$ -
Tobacco Prevention Program	Public Health Department PHSVC	900161-12336	7/1/2015 - 6/30/2016	$ 73,680	$ 70,756	$ 45,328
Expanded HIV Testing in Public Health Clinical Setting	Public Health -Office of AIDS Admin	900161-11793 900161-13064	4/1/2015 - 12/31/2016	$ 100,000	$ 60,965	$ 39,949
Services to Enhance Early Development (SEED) aka Foster Care Contract	Children & Family Services	900161-12609	7/1/2015 - 6/30/2016	$ 92,700	$ 91,628	$ 63,323
First Responder Advance Life Support (FRALS)- (PC#7224)	HCSA	PC#7224	7/1/2015 - 6/30/2016	$ 287,419	$ 346,418	$ 287,419
			Total	$ 1,653,772	$ 1,625,970	$ 953,888

I certify that the above County programs were included in the audit specified above. I understand that in accordance with CAM Exhibit D (1)(C)(3) requirements, all audit reports must identify each county program covered in the audit by contract number, contract amount, and contract period.

Contractor's Signature: _____   Date: __3/16/17__

Contractor's Name (print): _HENRY OYEKANMI_____   Title: _Director of finance_

For Alameda County Use Only:		
Received By: _____	Dept.: _____	Date: _____

Organizational Standards (Public)

Berkeley Community Action Agency
2017

Status: Reviewed-Accepted
Revision: 2 of 2
Created by: Wing Wong [wywong] on 8/29/2017 3:56:46 PM
Submitted by: Wing Wong [wywong] on 8/29/2017 4:04:23 PM
Reviewed by: Kathleen Walker [kwalker] on 8/30/2017 9:05:49 AM
Printed on: 9/12/2017 4:27 PM

Id: 415

Maximum Feasible Participation - Category 1: Community Engagement

Standard 1.1
The department demonstrates low-income individuals participation in its activities.

Guidance
- This standard is meant to embody "maximum feasible participation".
- The intent of this standard is to go beyond board membership; however, board participation may be counted toward meeting this standard if no other involvement is provided. The tripartite board is only one of many mechanisms through which CEEs engage people with low-incomes.
- Participation can include activities such as Head Start Policy Council, tenant or neighborhood councils, and volunteering, etc.
- Though not mandatory, many CEEs meet this standard by including advisory bodies to the board.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:

Activity participation lists
Advisory group documents
Advisory group minutes
Board minutes
Board pre-meeting materials/packet
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	all pages	Per CSD, CAP meets this standard	As Needed

Volunteer lists and Documents

Maximum Feasible Participation - Category 1: Consumer Input and Involvement

Standard 1.2
The department analyzes information collected directly from low-income individuals as part of the community assessment.

Guidance
- This standard reflects the need for CEEs to talk directly with low-income individuals regarding the needs in the community.
- Data can be collected through a variety of ways including, but not limited to, focus groups, interviews, community forums, customer surveys, etc.
- Analyzing the information can be met through review of the collected data by staff and/or board, including a review of collected data in the written community assessment, with notations of this review in the assessment's appendix, committee minutes, etc.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:

Backup documentation/data summaries
Community assessment document (including appendices)
Community forum summaries
Interview transcripts
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	all pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 1: Consumer Input and Involvement

Standard 1.3
The department has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the tripartite board/advisory body, which may be met through broader local government processes.

Guidance
- This reflects the need for any business to gather information regarding customer satisfaction. All organizations need to be aware of how satisfied their customers are of the services they receive.
- This standard does not imply that a specific satisfaction level needs to be achieved.
- Documentation is needed to demonstrate all three components in order to meet the standard: 1) collection, 2) analysis, and 3) reporting of data.
- A systematic approach may include, but not be limited to, surveys or other tools being distributed to customers annually, quarterly, or at the point of service (or on a schedule that works for the individuation CEE). Such collection may occur by program or agency-wide at a point in time.
- Analyzing the findings is typically completed by staff.
- Reporting to the board may be via written or verbal formats.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
•Documentation is needed to demonstrate all three components in order to meet the standard: 1) collection, 2) analysis, and 3) reporting of data. This standard has been met with the attached supporting documentation.

Documentation Used:
Board/committee minutes

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Minutes		08/08/2017	1	Board reviewed reports	Maintain
May 2017 Minutes		08/08/2017	1 to 2	Board reviewed reports	Maintain
Oct. 2016 Public Hearing Minutes		07/25/2017	All Pages	Documentations of community needs	Maintain

Customer satisfaction instruments, e.g., survey, data collection tools and schedule

Document	Description	Document Date	Reference	Notes	Expires On
Oct. 2016 Public Hearing Notice		07/25/2017	All Pages	Approach to collect data	Maintain

Customer satisfaction policy and/or procedures
Customer satisfaction reports to organization leadership, board and/or broader community

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Packet		08/29/2017	42 to 48	Sample reports showing systematic data collection	Maintain
May 2017 packet		08/29/2017	10 to 26	Sample reports showing systematic data collection	Maintain

Other written or online reports

Maximum Feasible Participation - Category 2: Community Engagement

Standard 2.1
The department has documented or demonstrated partnerships across the community, for specifically identified purposes; partnerships include other anti-poverty organizations in the area.

Guidance
- Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise and/or resources.
- Specifically identified purposes may include but are not limited to: shared projects; community collaborations/coalitions with an identified topic e.g. domestic violence, homelessness, teen pregnancy prevention, transportation task forces, community economic development projects, etc.; contractually coordinated services; etc.
- The IS Report already asks for a list of partners. The intent of this standard is not to have another list, but to have documentation that shows what these partnerships entail and/or achieve.
- These could be documented through MOUs, contracts, agreements, documented outcomes, coalition membership, etc.
- This standard does not require that every partnership is a formal, fully documented relationship.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standards has been met with the attached documentation

Documentation Used:
Coalition membership lists
Other written or online reports
Paternership documentation : agreements.emails, MOU / MOAs, charts

Document	Description	Document Date	Reference	Notes	Expires On
2017 Resolution		08/09/2017	All Pages	Partnerships with different community agencies	As Needed
FY 2016 Partnership agreement		07/11/2016	All pages	Sample of partnership agreement	As Needed

Strategic plan (including appendices)
Sub contracts with delegate/partner agencies

Maximum Feasible Participation - Category 2: Community Engagement

Standard 2.2
The department utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

Guidance
- If gathered during the community assessment, it would be documented in the assessment. If done during "other times" this may be reflected in reports, data analysis, or staff/board meeting minutes
- Engagement may include: key informant interviews, staff participation in other community groups/advisory bodies, community-wide processes, etc.
- Documentation is needed to demonstrate that all five sectors have been engaged: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions. There is no requirement for how many individual organizations the CEE must contact, or what data is collected.
- If one or more of these sectors are not present in the community or refuses to participate, then the CEE needs to demonstrate the gap or a good faith effort to engage the sector(s).
- Demonstrating that the department has "gathered" and "used" the information may be met in a variety of ways including, but not limited to: summarizing the data in the community assessment or its appendices; documentation of phone calls, surveys interviews, focus groups in CEE files (hard copy or electronic); documentation in planning team minutes; summary reports on the data shared at board meetings or board committees; etc.

Organization Self-Assessment
- Met
Not Met

Reviewer Assessment
- Met
Not Met
In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:
Backup documentation of involvement: surveys, interview documentation, community meeting
Board/committee minutes
Community assessment document (including appendices)
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 2: Community Engagement

Standard 2.3
The department communicates its activities and its results to the community.

Guidance
- This may be met through a CEEs annual report, Social Media activity, traditional news media, community outreach activities, etc.
- Community would be defined by the CEE but needs to include those outside of the staff and board of the CEE.

Organization Self-Assessment
- Met

  Not Met

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standards has been met with the attached documentation. However, I would like to see some updated information on the webpage and the CAPER.

Documentation Used:
Annual Report

Document	Description	Document Date	Reference	Notes	Expires On
City of Berkeley PY 2015 CAPER		08/24/2017	All Pages	PY 2015 CAPER	As Needed

Communication plan
Community event information

Document	Description	Document Date	Reference	Notes	Expires On
Oct. 2016 Public Hearing Minutes		08/03/2017	All Pages	Community engagement notice	As Needed
Oct. 2016 Public Hearing Notice		08/03/2017	All Pages	Community Communication	As Needed

Media files of stories published
News release copies
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
City of Berkeley CAPER webpage		08/24/2017	All pages	City webpage	As Needed

Website, Facebook page, Twitter account, etc. (regularly updated)

Maximum Feasible Participation - Category 2: Community Engagement

Standard 2.4
The department documents the number of volunteers and hours mobilized in support of its activities.

Guidance
- There is no requirement to utilize volunteers, only to document their number and hours, if utilized.
- This information should already be collected as part of current National Performance Indicators.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
There is no requirement to utilize volunteers, only to document their number and hours, if utilized. This information should already be collected as part of current National Performance Indicators. This standard has now been met with the attached supporting documentation on this standard and 1.3 kw

Documentation Used:
Board minutes
Data on number of volunteers and hours provided

Document	Description	Document Date	Reference	Notes	Expires On
2016 NPI 2.3		08/03/2017	All pages	Per CSD, NPI meets this standard	08/03/2018

Documentation of tracking system(s)

Document	Description	Document Date	Reference	Notes	Expires On
2016 EXCEL tracking		08/29/2017	1	Tracking system	08/29/2018

Other written or online reports

Maximum Feasible Participation - Category 3: Community Assessment

Standard 3.1
The department conducted or was engaged in a community assessment and issued a report within the past 3 years, if no other report exists.

Guidance
- This standard refers to what is sometimes called a community needs assessment, and requires that CEEs assess both needs and resources in the community. The requirement for this assessment is outlined in the CSBG Act.
- This may require CSBG Lead Offices to adjust time frames for required submission.
- The report may be electronic or print, and may be circulated as the CEE deems appropriate. This can include: websites, mail/email distribution, social media, press conference, etc.
- It may be helpful for CEEs to document the report release date such as April 2014 or December 2015.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:
Community assessment document (including appendices)
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 3: Community Assessment

Standard 3.2

As part of the community assessment, the department collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).

Guidance

- Documentation is needed to demonstrate all four categories in order to meet the standard: gender, age, race, and ethnicity.
- Data on poverty is available from the U.S. Census Bureau.

Organization Self-Assessment

- Met

  Not Met

Reviewer Assessment

- Met

  Not Met

  In Process

Reviewer Notes:

This standard has been met with the approved submission of the CAP

Documentation Used:

Backup information including census and other demographic Data
Community assessment document (including appendices)
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 3: Community Assessment

Standard 3.3
The department collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the community assessment.

Guidance
- Documentation is needed to demonstrate that both types of data are collected in order to meet the standard:
  - ○ Qualitative: this is opinions, observations, and other descriptive information obtained from the community through surveys, focus groups, interviews, community forums, etc.
  - ○ Quantitative: this is numeric information, e.g. Census data, program counts, demographic information, and other statistical sources.
- Documentation on data analysis is also required in order to meet the standard.

Organization Self-Assessment
- Met

Not Met

Reviewer Assessment
- Met

Not Met

In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:

Backup documentation
Broader community-wide assessments
Committee/team meeting minutes reflecting analysis
Community assessment document (including appendices)
Other data collection process on poverty
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 3: Community Assessment

Standard 3.4
The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.

Guidance
- There is no required way to reflect this information.
- The department may choose to include a key findings section in the assessment report and/or executive summary.
- The conditions of poverty may include items such as: numbers of homeless, free and reduced school lunch statistics, SNAP participation rates, etc.
- Causes of poverty may include items such as: lack of living wage jobs, lack of affordable housing, low education attainment rates, etc.

Organization Self-Assessment
• Met
Not Met

Reviewer Assessment
• Met
Not Met
In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:

Backup documentation
Committee/team meeting minutes reflecting analysis
Community assessment document (including appendices)
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2020

Maximum Feasible Participation - Category 3: Community Assessment

Standard 3.5
The tripartite board/advisory body formally accepts the completed community assessment.

Guidance
- This would be met through the Board voting on a motion to accept the assessment at a regular board meeting and documenting this in the minutes.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:

Board minutes
Board pre-meeting materials/packet
Community assessment document (including appendices)
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All pages	Per CSD, CAP meets this standard	07/25/2020

Vision and Direction - Category 4: Organizational Leadership

Standard 4.1

The tripartite board/advisory body has reviewed the department's mission statement within the past 5 years and assured that:
1. The mission addresses poverty; and
2. The CSBG programs and services are in alignment with the mission.

Guidance

- "Addresses poverty" does not require using the specific word poverty in the department's mission.
- Language such as but not limited to: low-income, self-sufficiency, economic security, etc. is acceptable.
- It is the board that determines if the programs and services are in alignment with the mission. This review and formal determination would be recorded in the board minutes.

Organization Self-Assessment

• Met
Not Met

Reviewer Assessment

• Met
Not Met
In Process

Reviewer Notes:

This standard has been met with the attached supporting documentation.

Documentation Used:

Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
May 2016 Minutes		07/21/2016	1	Board reviewed Municipal Code	07/21/2021

Mission statement

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Municipal Code Chapter 3.78		07/21/2016	All Pages	Municipal Code governing the Board	07/21/2021
Bylaws		07/21/2016	All Pages	Bylaws governing the Board	07/21/2021

Other written or online reports
Strategic plan (including appendices)

Vision and Direction - Category 4: Organizational Leadership

Standard 4.2
The department's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.

Guidance
- The State Lead Agency is responsible for determining the Plan's format, and needs to ensure that the three components are readily identifiable.
- The Plan needs to be focused on outcomes, i.e., changes in status (such as hunger alleviation vs. food baskets).
- The Community Action plan is sometimes referred to as the CSBG Work plan.

Organization Self-Assessment
• Met
Not Met

Reviewer Assessment
• Met
Not Met
In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:
CAP plan (*sometimes referred to as the CSBG Plan or CSBG WorkPlan)

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2018

Community assessment document (including appendices)
Logic model
Other written or online reports

Vision and Direction - Category 4: Organizational Leadership

Standard 4.3
The department's Community Action plan and strategic plan document the continuous use of the full Result Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the department documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.

Guidance
- There is no requirement to have a certified ROMA trainer on staff at the department.
- While a ROMA trainer (or equivalent) must be involved, it is up to the department to determine the manner in which this individual is utilized. Examples include: involving the trainer in strategic planning meetings, consultation on implementation, etc.
- This includes involving a ROMA trainer (or equivalent) in the course of ROMA-cycle activities such as the community assessment, strategic planning, data and analysis, and does not need to be a separate activity.

Organization Self-Assessment
- Met

  Not Met

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:
Agreement with certified trainer not within the organization to provide ROMA services
Certified ROMA trainer in the organization
Community action work plan update/report
Meeting summaries of ROMA trainer participation
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2018

Strategic plan (including appendices)

Vision and Direction - Category 4: Organizational Leadership

Standard 4.4
The tripartite board/advisory body receives an annual update on the success of specific strategies included in the Community Action plan.

Guidance
- The CSBG Act requires that boards be involved with assessment, planning, implementation, and evaluation of the programs: this standard supports meeting that requirement.
- This standard is met by an update being provided at a regular tripartite board/advisory body meeting, and documented in the minutes.
- The update provided to the tripartite board/advisory board may be written or verbal.
- The update provided to the tripartite board/advisory board should include specific strategies outlined in the Community Action plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes
Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Minutes		08/03/2017	1	Board reviewed program reports	08/03/2018
May 2017 Minutes		08/03/2017	1	Board reviewed program reports	08/03/2018

Board pre-meeting materials/packet
Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Packet		08/03/2017	42-48	program reports	08/03/2018
May 2017 packet		08/03/2017	10-26	program reports	08/03/2018

Community action work plan update/report
Other written or online reports

Vision and Direction - Category 4: Organizational Leadership

Standard 4.5
The department adheres to its local government's policies and procedures around interim appointments and processes for filling a permanent vacancy.

Guidance
- This will vary by local government; department provides documentation of the local procedures and is able to show compliance.

Organization Self-Assessment
- Met

Not Met

Reviewer Assessment
- Met

Not Met

In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
Jan. 2017 minutes (vacancy appointment		08/09/2017	1	Election of a Low-income Representative	Maintain
March 2017 Vacancy appointment		08/09/2017	1	Election of a Low-income Representative	Maintain

Other written or online reports
Short term succession plan

Document	Description	Document Date	Reference	Notes	Expires On
BCAA 2012 Short term succession Plan		07/11/2016	All Pages	Local Policy and Procedures	Maintain

Succession plan / policy

Document	Description	Document Date	Reference	Notes	Expires On
Appointment Policy		07/11/2016	All Pages	Local Policy and Procedures	Maintain
Berkeley Municipal Code Chapter 3.78		07/11/2016	All Pages	Municipal Code	Maintain

Vision and Direction - Category 4: Organizational Leadership

Standard 4.6
The department complies with its local government's risk assessment policies and procedures.

Guidance
- This will vary by local government; department provides documentation of the local procedures and is able to show compliance.
- The department may be part of a broader municipality-based/county-based risk assessment, this would be considered meeting the standard.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Board minutes
Completed risk assessment tool
Other written or online reports
Risk assessment policy and/or procedures

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Auditor		11/01/2016	All pages	risk management	11/01/2018

Risk assessment reports

Vision and Direction - Category 5: Board Governance

Standard 5.1

The department's tripartite board/advisory body is structured in compliance with the CSBG Act, by either:

1. Selecting the board members as follows:
    - ◌ At least one third are democratically-selected representatives of the low-income community;
    - ◌ One-third are local elected officials (or their representatives); and
    - ◌ The remaining members are from major groups and interests in the community; or
2. Selecting the board through another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.

Guidance

- This standard is based on the CSBG Act and addresses the composition structure of the tripartite board/advisory body only.
- See the CSBG Act and IM 82 for comprehensive guidance.

Organization Self-Assessment

- Met
  Not Met

Reviewer Assessment

- Met
  Not Met
  In Process

Reviewer Notes:

This standard has been met with the attached supporting documentation.

Documentation Used:

Board bylaws

Document	Description	Document Date	Reference	Notes	Expires On
Board Bylaws		07/12/2016	3	Board structure	Maintain

Board minutes
Board roster

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Board Roster		07/19/2017	All pages	Per CSD, Board Roster meets this standard	Maintain

Other written or online reports

Vision and Direction - Category 5: Board Governance

Standard 5.2

The department's tripartite board/advisory body either has:

1. Written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community, or
2. Another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs.

Please note under IM 82 for Public Entities the law also requires that a minimum of 1/3 of tripartite board membership be comprised of representatives of low-income individuals and families who reside in areas served.

Guidance

- See the CSBG Act and IM 82 for comprehensive guidance.
- See definitions list for additional clarity on democratic selection - please note that the CSBG Act requires a democratic selection process, not election process.
- Examples of democratic selection procedures for low-income sector directors include: (1) election by ballots cast by the CEE's clients and/or by other low-income people in the CEE's service area (ballots could be cast, for example, at designated polling place(s) in the service area, at the CEE's offices, or via the Internet); (2) vote at a community meeting of low-income people (the meeting could serve not simply to select low-income sector directors but also to address a topic of interest to low-income people); (3) designation of one or more community organization(s) composed predominantly of and representing low-income people in the service area (for example, a Head Start policy council, low-income housing tenant association, or the board of a community health center) to designate representative(s) to serve on the CEE's board.

Organization Self-Assessment

- Met
  Not Met

Reviewer Assessment

- Met
  Not Met
  In Process

Reviewer Notes:

This standard has been met with the attached supporting documentation.

Documentation Used:

Board bylaws

Document	Description	Document Date	Reference	Notes	Expires On
Board Bylaws		07/12/2016	3-4	Democratic selection	Maintain

Board minutes
Board policies And procedures
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Municipal Code Chapter 3.78		07/12/2016	All Pages	Democratic selection	Maintain

Vision and Direction - Category 5: Board Governance

Standard 5.4
The department documents that each tripartite board/advisory body member has received a copy of the governing documents, within the past 2 years.

Guidance
- Distribution may be accomplished through electronic or hard copy distribution.
- Acknowledgement of receipt may be accomplished through a signed and dated written acknowledgement, email acknowledgement, tripartite board/advisory body minutes documenting receipt for those in attendance, etc.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Board bylaws

Document	Description	Document Date	Reference	Notes	Expires On
Board Bylaws		07/12/2016	All pages	Bylaws in the Orientation Binder	07/12/2018

Board minutes
Board pre-meeting materials/packet
Copies of acknowledgements
List of signatures

Document	Description	Document Date	Reference	Notes	Expires On
2017 receipt of Orientation Binder		08/21/2017	All Pages	Board Member acknowledgement	08/21/2019
Nov. 2016 acknowledgement		08/21/2017	All Pages	Board Member acknowledgement	08/21/2019

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Municipal Code Chapter 3.78		07/12/2016	All Pages	Municipal Code in the Orientation Binder	07/12/2018

Vision and Direction - Category 5: Board Governance

Standard 5.5
The department's tripartite board/advisory body meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its governing documents.

Guidance
- There are no requirements on the meeting frequency or quorum; only that the department abide by its governing documents.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Board bylaws

Document	Description	Document Date	Reference	Notes	Expires On
Bylaws		08/08/2017	All Pages	Governing document	08/08/2018

Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
Jan. 2017 minutes (vacancy appointment		08/09/2017	1	Filled vacancy	08/09/2018
June 2017 Minutes		08/03/2017	all pages	Regular meeting	08/03/2018
March 2017 Vacancy appointment		08/09/2017	1	Filled vacancy	08/09/2018
May 2017 Minutes		08/03/2017	All pages	Regular meeting	08/03/2018

Board roster

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Board Roster		07/18/2017	All Pages	Roster	07/18/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2012 Commissioners Manual		08/22/2017	All pages	Commissioners' manual	08/22/2018
Quorum Policy		08/08/2017	All Pages	Local Policy and Procedures	08/08/2018

Vision and Direction - Category 5: Board Governance

Standard 5.6
Each tripartite board/advisory body member has signed a conflict of interest policy, or comparable local government document, within the past 2 years.

Guidance
- There is no requirement to use a specific conflict of interest policy, only that the department utilizes one that meets its needs.
- The signed conflict of interest policies are collected, reviewed, and stored by the Organization.
- 2 CFR Part 200 (Super Circular) is in effect for any grant periods after December 26, 2014 and has additional information on conflict of interest policies and specific disclosures.
- As a point of reference, the 990 asks: Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? Did the organization regularly and consistently monitor and enforce compliance with the policy? If so, describe how.
- Standard allows for "comparable local government document" as many Public CEEs address conflict of interest within required ethics training.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
July 2016 Minutes		10/11/2016	2	Conflict of Interest training	10/11/2018

Conflict of interest policy/procedures

Document	Description	Document Date	Reference	Notes	Expires On
City of Berkeley Conflict of Interest Policy/Proce		10/11/2016	All Pages	Local Policy	10/11/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
CA Form 700		07/13/2016	All Pages	State form	07/13/2018
conflict of interest materials		07/13/2016	All Pages	Conflict of Interest training materials	07/13/2018
July 2016 Meeting Packet		07/11/2016	8-11	Conflict of Interest Training materials	07/11/2018

Signed policies/signature list

Vision and Direction - Category 5: Board Governance

Standard 5.7
The department has a process to provide a structured orientation for tripartite board/advisory body members within 6 months of being seated.

Guidance
- There is no specific curricula requirement, or training methodology required; Board Orientation should have many organization-specific elements. These may include bylaws, overview of programs, and review of fiscal reports.
- Training may be delivered at board meetings, special sessions, in person, through electronic media, or through other modalities as determined by the board.
- The department must have documentation of its process (including content), as well as documentation that each board member has been provided with the opportunity for orientation.

Organization Self-Assessment
- Met

  Not Met

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board member acknowledgement/signature

Document	Description	Document Date	Reference	Notes	Expires On
10-27-2016 Board Training attendee list		10/27/2016	All Pages	Training attendee	Maintain
2017 receipt of Orientation Binder		08/09/2017	All Pages	Board member acknowledgement on receiving Orientation Binder	Maintain
Receipt of Orientation binder		11/15/2016	All Pages	Board member acknowledgement on receiving Orientation Binder	Maintain

Board policies And procedures
Board training materials

Document	Description	Document Date	Reference	Notes	Expires On
10-27-2016 Board Training agenda		10/27/2016	All Pages	Training agenda	Maintain

Other written or online reports

Vision and Direction - Category 5: Board Governance

Standard 5.8
Tripartite board/advisory body members have been provided with training on their duties and responsibilities within the past 2 years.

Guidance
- There is no specific curricula requirement, or training methodology required.
- Training may be delivered at board meetings, special sessions, conferences, through electronic media, or other modalities as determined by the board.
- The department needs to have documentation that the training occurred (including content) as well as documentation that each board member has been provided with training opportunities.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Attendee list

Document	Description	Document Date	Reference	Notes	Expires On
10-27-2016 Board Training attendee list		10/27/2016	All Pages	Board Training attendees	10/27/2018

Board minutes
Documentation of board attendance at offsite training conferences/events/webinars etc.
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2017 receipt of Orientation Binder		08/21/2017	All pages	Board member acknowledgement	08/21/2019
Receipt of Orientation binder		11/16/2016	All Pages	Board Member acknowledgement	11/16/2018

Training agendas

Document	Description	Document Date	Reference	Notes	Expires On
2016 Board Training		10/27/2016	All pages	Training agenda	10/27/2018

Vision and Direction - Category 5: Board Governance

Standard 5.9
The department's tripartite board/advisory body receives programmatic reports at each regular board/advisory meeting.

Guidance
- This standard does not require a report on each program at every board meeting; however it does call for some level of programmatic reporting at every board meeting. The department determines their own process to report programs to the board. For example, some departments may cycle through their programs semi-annually, others may do so on a quarterly basis, and yet others may do a brief summary at every board meeting.
- Board minutes should reflect that programmatic reports have been received documentation.
- Programmatic reporting may be in writing (reports, dashboards) and/or verbal.

Organization Self-Assessment
- Met

  Not Met

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Minutes		08/02/2017	1	Board reviewed program reports	08/02/2018
May 2017 Minutes		08/02/2017	1-2	Board reviewed program reports	08/02/2018

Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Packet		08/02/2017	42-48	program reports	08/02/2018
May 2017 packet		08/02/2017	10-26	program reports	08/02/2018

Other written or online reports
Programmatic Reports

Vision and Direction - Category 6: Strategic Planning

Standard 6.1
The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.

Guidance
- This is intended to be an department-wide document, not a list of individual program goals.
- This would be met through the Board voting on a motion to accept the strategic plan at a regular board meeting and documenting this in the minutes.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
We had initial strategic planning training on 7/19/2017. We are working on a training date with CalCAPA by Sept. 30, 2017.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Training sign-in sheet		08/11/2017	All pages	Training attendee	08/11/2022
July 2017 Strategic Planning Training powerpoint		08/11/2017	All pages	Training Powerpoint	08/11/2022
July 2017 Strategic Planning Training Session		08/08/2017	6	Training agenda	08/08/2022

Strategic plan (including appendices)

Document	Description	Document Date	Reference	Notes	Expires On
2015 Housing Element		11/16/2016	All pages	City of Berkeley Housing Element	11/16/2021
General Plan		11/16/2016	All Pages	City of Berkeley General Plan	11/16/2021

Vision and Direction - Category 6: Strategic Planning

Standard 6.2
The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

Guidance
- These are the purposes of CSBG as laid out in the Act.
- These specific terms are not required, but the Plan needs to include one or more of the themes noted in the standard.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
We had initial strategic planning training on 7/19/2017. We are working on a training date with CalCAPA by Sept. 30, 2017.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Training sign-in sheet		08/10/2017	All Pages	Training attendee	08/10/2022
July 2017 Strategic Planning Training powerpoint		08/10/2017	All Pages	Training Materials	08/10/2022
July 2017 Strategic Planning Training Session		08/07/2017	6	Training agenda	08/07/2022

Strategic plan (including appendices)

Document	Description	Document Date	Reference	Notes	Expires On
2015 Housing Element		11/15/2016	All Pages	City of Berkeley Housing Element	11/15/2021
General Plan		11/15/2016	All Pages	City of Berkeley General Plan	11/15/2021

Vision and Direction - Category 6: Strategic Planning

Standard 6.3
The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.

Guidance
- These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators.
- These specific terms are not required, but the Plan must address one or more of these dimensions.
- There is no requirement to address all three: Family, Agency, and Community.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
We had initial strategic planning training on 7/19/2017. We are working on a training date with CalCAPA by Sept. 30, 2017.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Training sign-in sheet		08/10/2017	All Pages	Training attendee	08/10/2022
July 2017 Strategic Planning Training powerpoint		08/10/2017	All Pages	Training Materials	08/10/2022
July 2017 Strategic Planning Training Session		08/07/2017	6	Training Agenda	08/07/2022

Strategic plan (including appendices)

Document	Description	Document Date	Reference	Notes	Expires On
2015 Housing Element		11/15/2016	All Pages	City of Berkeley Housing Element	11/15/2021
General Plan		11/15/2016	All pages	City of Berkeley General Plan	11/15/2021

Vision and Direction - Category 6: Strategic Planning

Standard 6.4
Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.

Guidance
- This standard links the community assessment with strategic planning.
- There is no requirement to do additional data collection.
- Please see guidance and glossary under Customer Engagement for more information on customer satisfaction and customer input.
- The standard may be documented by references to the analysis of customer satisfaction data and input within the plan, or by including the analysis of customer satisfaction data in the plan or its appendices, with a brief explanation of how it was used.

Organization Self-Assessment
- Met

  Not Met

Submitter Notes:
We had initial strategic planning training on 7/19/2017. We are working on a training date with CalCAPA by Sept. 30, 2017.

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the approved submission of the CAP

Documentation Used:
Customer input data/reports

Document	Description	Document Date	Reference	Notes	Expires On
2016-2017 CAP		10/27/2016	All Pages	Per CSD, CAP meets this standard	10/27/2021

Customer satisfaction data/reports
Notes from strategic planning process
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2018-2019 BCAA CAP		07/25/2017	All Pages	Per CSD, CAP meets this standard	07/25/2022

Strategic plan (including appendices)

Vision and Direction - Category 6: Strategic Planning

Standard 6.5
The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.

Guidance
- The CSBG Act requires that Boards be involved with assessment, planning, implementation and evaluation of programs; this standard supports meeting that requirement.
- The standard would be met by an update provided at a regular Board meeting, or a planning session, and documented in the minutes.
- The update provided to the tripartite board/advisory board may be written or verbal.
- The update provided to the tripartite board/advisory board should include goals outlined in the strategic plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
We had initial strategic planning training on 7/19/2017. We are working on a training date with CalCAPA by Sept. 30, 2017.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes
Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Strategic Planning Training Session		08/08/2017	6	Training agenda	08/08/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
July 2017 Training sign-in sheet		08/10/2017	All pages	Training attendees	08/10/2018
July 2017 Strategic Planning Training powerpoint		08/10/2017	All pages	Training materials	08/10/2018

Strategic plan (including appendices)

Document	Description	Document Date	Reference	Notes	Expires On
2015 Housing Element		11/16/2016	All Pages	City of Berkeley Housing Element	11/16/2017
General Plan		11/16/2016	All Pages	City of Berkeley General Plan	11/16/2017

Operations and Accountability - Category 7: Human Resource Management

Standard 7.2
The department follows local governmental policies in making available the employee handbook (or personnel policies in cases without a handbook) to all staff and in notifying staff of any changes.

Guidance
- Each local government will have its own process; department provides documentation of the local policies and is able to show compliance.
- The Handbook may be made available in electronic (such as an agency intranet, a location on a shared server, or distributed via email) or print formats.
- The process for notification of changes is up to the individual department.
- Agencies are encouraged to have staff sign off that they have received and read the Employee Handbook.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Documentation of location and availability of handbook/policies
Employee handbook/personnel policies

Document	Description	Document Date	Reference	Notes	Expires On
Personnel policy		07/12/2016	All pages	local policy	As Needed

Identified process for notifying staff of updates (may be included within the handbook/policy)

Document	Description	Document Date	Reference	Notes	Expires On
Notifying employees		07/19/2016	All pages	local policy	As Needed

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2017 Union agreements		08/21/2017	All pages	union agreements	As Needed

Operations and Accountability - Category 7: Human Resource Management

Standard 7.3
The department has written job descriptions for all positions. Updates may be outside of the purview of the department.

Guidance
- Each local government will have its own process; see local documentation.
- This references job descriptions for each type of position, not each staff person.

Organization Self-Assessment
- Met

Not Met

Reviewer Assessment
- Met

Not Met

In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board or committee minutes noting documents have been updated
Job descriptions

Document	Description	Document Date	Reference	Notes	Expires On
Associate Management Analyst		07/12/2016	All pages	job description	07/12/2021
Community Services Specialist		07/12/2016	All pages	job description	07/12/2021
Department Director		07/12/2016	All pages	job description	07/12/2021
Fiscal Manager		07/12/2016	All pages	job description	07/12/2021
Housing and Community Services Manager		07/12/2016	All pages	job description	07/12/2021
Office Specialist		07/12/2016	All pages	job description	07/12/2021

Organizational chart/staff list

Document	Description	Document Date	Reference	Notes	Expires On
Dept. organizational chart		07/12/2016	All pages	Department organizational chart	07/12/2021
Division organizational chart		07/12/2016	All pages	Division organizational chart	07/12/2021

Other written or online reports

Operations and Accountability - Category 7: Human Resource Management

Standard 7.4
The department follows local government procedures for performance appraisal of the department head.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and is able to show compliance.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Board minutes
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Performance evaluation program		08/09/2017	All pages	local policy	08/09/2018

Operations and Accountability - Category 7: Human Resource Management

Standard 7.5
The compensation of the department head is made available according to local government procedure.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and is able to show compliance.

Organization Self-Assessment
• Met
Not Met

Reviewer Assessment
• Met
Not Met
In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes
Executive Director/CEO contract (if applicable)

Document	Description	Document Date	Reference	Notes	Expires On
2016 Dept. Head appointment		08/09/2017	All pages	Department head appointment	08/09/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Web page for salaries		08/09/2017	All pages	employee salaries	08/09/2018

Operations and Accountability - Category 7: Human Resource Management

Standard 7.6
The department follows local governmental policies for regular written evaluation of employees by their supervisors.

Guidance
- Each local government will have its own process; department provides documentation of the local policies and is able to show compliance.
- The standard calls for a policy being in place.
- It is recognized that it is best practice to have annual reviews for every employee, but the standard is not intended to imply that 100% of employees must have an annual review. This caveat is noted given normal business conditions that may impact individual employees at any given time, e.g. timing of resignation/dismissal, FMLA leave, seasonal, etc.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Evaluation process/policy (likely found in personnel policies and procedures)

Document	Description	Document Date	Reference	Notes	Expires On
Employee evaluation policy		07/12/2016	All pages	local policy	Maintain
Performance evaluation program		07/12/2016	All pages	local policy	Maintain

Other written or online reports

Operations and Accountability - Category 7: Human Resource Management

Standard 7.7
The department provides a copy of any existing local government whistle-blower policy to members of the tripartite board/advisory body at the time of orientation.

Guidance
- Each local government will have its own process; see local documentation.
- Many incorporate their whistle-blower policy into their Personnel Policies or Employee Handbook. If incorporated in a larger document, there is no requirement that the whistle-blower policy be pulled out separately.
- Some local governments include whistle-blower policy within other ethics laws/policies.
- This would be met through documentation of orientation.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation also included in 5.4.

Documentation Used:
Board minutes
Board pre-meeting materials/packet
Other written or online reports
Whistleblower policy

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Whistleblower Policy		11/02/2016	All pages	local policy	Maintain
CA Labor Code 1102.5	CA Whistleblower	07/18/2016	All pages	State Regulations	Maintain

Operations and Accountability - Category 7: Human Resource Management

Standard 7.8
The department follows local governmental policies for new employee orientation.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and is able to show compliance.
- There are not curricula requirements for the orientation; it is up to the organization to determine the content. Some examples of content include time and effort reporting, ROMA, data collection, mission, history of Community Action, etc.
- If no policy exists, department should still do an orientation for new employees.
- This may be met through individual or group orientations, and documented in personnel files.

Organization Self-Assessment
- Met

  Not Met

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Employee handbook/personnel policies

Document	Description	Document Date	Reference	Notes	Expires On
Personnel policy		07/11/2016	All pages	local policy	As Needed

Orientation materials

Document	Description	Document Date	Reference	Notes	Expires On
New employee orientation material		07/12/2016	All pages	Department guidelines	As Needed

Other written or online reports
Sampling of HR/personnel files for documentation of attendance

Operations and Accountability - Category 7: Human Resource Management

Standard 7.9
The department conducts or makes available staff development/training (including ROMA) on an ongoing basis.

Guidance
- There are no specific requirements for training topics, with the exception of ROMA (or comparable system if one is used and approved by the State).
- This standard may be met through in-house, community-based, conference, on-line and other training modalities. Agencies may conduct their own training in-house, or may make on-line or outside training available to staff.
- This should be documented in personnel files.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation on this standard and on standard 6.1

Documentation Used:

Documentation of attendance at offsite training events/conferences
Documentation of trainings: presentations, evaluations. attendee lists
HR/personnel files
Other written or online reports
Training plan(s)

Document	Description	Document Date	Reference	Notes	Expires On
2017 Training web page		08/09/2017	All pages	employee training web page	As Needed

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.1

The department's annual audit is completed through the local governmental process in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements. This may be included in the municipal entity's full audit.

Guidance

- Each local government will have its own process; department provides documentation of the local procedures and able to show compliance.
- It is important to note that there may be cases where the department's audit information is subsumed within a broader division of government and may not be specifically mentioned by name in the local government's audit.

Organization Self-Assessment

- Met

  Not Met

Reviewer Assessment

- Met

  Not Met

  In Process

Reviewer Notes:

This standard has been met with the attached supporting documentation.

Documentation Used:

Completed audit

Document	Description	Document Date	Reference	Notes	Expires On
2016 Single Audit Report		08/09/2017	All pages	2016 Single Audit	08/09/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Single Audit web page		08/09/2017	All pages	Past years audit reports	08/09/2018

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.2
The department follows local government procedures in addressing any audit findings related to CSBG funding.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and able to show compliance.
- Findings are those noted in the Audit itself, not the Management Letter.
- Any findings that are addressed should be reported back to the advisory board.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes
Completed audit

Document	Description	Document Date	Reference	Notes	Expires On
2016 Single Audit Report		08/09/2017	All pages	2016 Single Audit	08/09/2018

Management response to the audit
Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Berkeley Single Audit web page		08/09/2017	All pages	Past years audit reports	08/09/2018

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.3
The department's tripartite board/advisory body is notified of the availability of the local government audit.

Guidance
- Each local government will have its own process; see local documentation.
- Department's tripartite/advisory body is notified of the audited financial statements and management letter, if applicable.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
The Board will review 2016 Single Audit at the September meeting.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
Draft Sept. 2017 Meeting agenda		08/15/2017	All pages	Board will review audit at the September meeting	08/15/2018
May 2016 packet		08/22/2017	20-42	Board received 2015 Single Audit	08/22/2018

Board/committee minutes

Document	Description	Document Date	Reference	Notes	Expires On
May 2016 Minutes		08/22/2017	1	Board reviewed 2015 Single Audit	08/22/2018

Completed audit

Document	Description	Document Date	Reference	Notes	Expires On
2016 Single Audit Report		08/08/2017	All pages	Board will review at the September meeting	08/08/2018

Other written or online reports

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.4
The department's tripartite board/advisory body is notified of any findings related to CSBG funding.

Guidance
- Each local government will have its own process; see local documentation.
- Notified could include: meeting, email, newsletter, bulletin
- If there were no findings related to CSBG, the department will provide documentation stating that no findings related to CSBG exist.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
The Board will review 2016 Single Audit at the September meeting.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
May 2016 Minutes		08/22/2017	1	Board reviewed 2015 Single Audit	08/22/2018

Completed audit

Document	Description	Document Date	Reference	Notes	Expires On
May 2016 packet		08/21/2017	20 to 42	Board received 2015 Single Audit	08/21/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
Draft Sept. 2017 Meeting agenda		08/15/2017	1	Board will review 2016 Single Audit at the September meeting	08/15/2018

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.7
The tripartite board/advisory body receives financial reports at each regular meeting, for those program(s) the body advises, as allowed by local government procedure.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and able to show compliance.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Packet		08/02/2017	42 to 48	Board received financial reports	As Needed
May 2017 packet		08/02/2017	10 to 26	Board received financial reports	As Needed

Board/committee minutes

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Minutes		08/09/2017	1	Board reviewed financial reports	As Needed
May 2017 Minutes		08/09/2017	1 to 2	Board reviewed financial reports	As Needed

Financial reports as noted above
Other written or online reports

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.9
The tripartite board/advisory body has input as allowed by local governmental procedure into the CSBG budget process.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and able to show compliance. If no input is allowed, this could be met through documentation of either a tripartite board/advisory body discussion or departmental procedures noting such.

Organization Self-Assessment
- Met

   Not Met

Reviewer Assessment
- Met

   Not Met

   In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:

Agency-wide budget

Document	Description	Document Date	Reference	Notes	Expires On
City of Berkeley Budget		08/24/2017	All pages	FY 2018-2019 City Budget	08/24/2018

Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
Feb. 2017 Minutes		08/09/2017	1	Board discussed funding recommendations	08/09/2018
Jan. 2017 minutes		08/09/2017	1	Board reviewed funding applications	08/09/2018
March 2017 Minutes		08/09/2017	1	Board discussed funding recommendations	08/09/2018
May 2017 Minutes		08/02/2017	1	Board had recommendation updates	08/02/2018

Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
Feb. 2017 packet		08/09/2017	1	Board pre-meeting packet	08/09/2018
Jan. 2017 packet		08/09/2017	1	Board pre-meeting packet	08/09/2018
March 2017 Packet		08/09/2017	5 to 6	Funding recommendations	08/09/2018
May 2017 packet		08/09/2017	6	Funding recommendations	08/09/2018

Other written or online reports

Document	Description	Document Date	Reference	Notes	Expires On
2017 RFP		08/09/2017	All pages	local Request For Funding procedures	08/09/2018

Operations and Accountability - Category 8: Financial Operations and Oversight

Standard 8.13
The department follows local governmental policies for document retention and destruction.

Guidance
- Each local government will have its own process; department provides documentation of the local procedures and able to show compliance.
- This Policy may be a stand-alone policy or may be part of a larger set of department policies.

Organization Self-Assessment
- Met
  Not Met

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Documentation retention and destruction policy

Document	Description	Document Date	Reference	Notes	Expires On
Record retention schedule		07/13/2016	All pages	local policy	Maintain

Other written or online reports

Operations and Accountability - Category 9: Data and Analysis

Standard 9.1
The department has a system or systems in place to track and report client demographics and services customers receive.

Guidance
- Some funders require their own systems be used; the department may or may not have a department-wide system in place. As long as all services and demographics are tracked, this standard would be met.
- The CSBG Information Survey data report already requires the reporting of client demographics. This standard does not require additional demographic data collection/reporting.

Organization Self-Assessment
- Met

  Not Met

Submitter Notes:
BCAA has a computer system to track data

Reviewer Assessment
- Met

  Not Met

  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
CSBG Information Survey data report

Document	Description	Document Date	Reference	Notes	Expires On
2016 CSD 090 report		08/03/2017	All Pages	Per CSD, IS Report meets this standard	Maintain

Data system documentation and/or direct observation

Document	Description	Document Date	Reference	Notes	Expires On
2016 CSD 295		08/03/2017	All Pages	Per CSD, IS Report meets this standard	Maintain

Other written or online reports
Reports as used by staff, leadership, board or cognizant funder

Operations and Accountability - Category 9: Data and Analysis

Standard 9.2
The department has a system or systems in place to track family, agency, and/or community outcomes.

Guidance
- Some funders require their own systems be used; the department may or may not have a department-wide system in place. As long as all outcomes are tracked, the standard would be met.
- This may or may not be the same system(s) as referenced in standard 9.1.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
BCAA has a computer system to track data

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Data system documentation and/or direct observation

Document	Description	Document Date	Reference	Notes	Expires On
2016 CSD 090 report		08/03/2017	All pages	2016 IS report	Maintain
2016 CSD 295		08/02/2017	All pages	2016 Characteristic report	Maintain

Other written or online reports
Reports as used by staff, leadership, board or cognizant funder

Document	Description	Document Date	Reference	Notes	Expires On
BOSS Family Program		07/12/2016	All pages	Sample report from BCAA computer system	Maintain
BOSS Shelter Program		07/12/2016	All pages	Sample report from BCAA computer system	Maintain

Operations and Accountability - Category 9: Data and Analysis

Standard 9.3
The department has presented to the tripartite board/advisory body for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary.

Guidance
- This standard could be met through board or staff discussions, as long as the analysis and discussion are documented.
- It is important to note that a department is likely to have multiple programs with varying program years. This standard addresses an annual review of department outcomes. Departments are likely to make operational and strategic program adjustments throughout the year, making a single point in time analysis less effective than ongoing performance management.
- The department can meet this standard by having an annual board discussion of agency outcomes, multiple conversations over the course of the year or other process the department deems appropriate as long as these discussions are reflected in the minutes, with any operational or program adjustments or improvements being noted.
- The department is not required to make adjustments in order to meet the standard, only to have conducted an analysis.

Organization Self-Assessment
- Met
  Not Met

Submitter Notes:
The Board reviewed program and financial reports at each meeting.

Reviewer Assessment
- Met
  Not Met
  In Process

Reviewer Notes:
This standard has been met with the attached supporting documentation.

Documentation Used:
Board minutes

Document	Description	Document Date	Reference	Notes	Expires On
July 2016 Minutes		10/31/2016	2	Board reviewed program and financial reports	10/31/2017
June 2017 Minutes		08/02/2017	1	Board reviewed program and financial reports	08/02/2018
May 2017 Minutes		08/02/2017	1 to 2	Board reviewed program and financial reports	08/02/2018
Sept. 2016 Board Minutes		10/31/2016	2	Board reviewed program and financial reports	10/31/2017

Board pre-meeting materials/packet

Document	Description	Document Date	Reference	Notes	Expires On
July 2016 Packet		10/31/2016	18 to 24	Board received reports	10/31/2017

Document	Description	Document Date	Reference	Notes	Expires On
June 2017 Packet		08/02/2017	42 to 48	Board received reports	08/02/2018
May 2017 packet		08/02/2017	10 to 26	Board received reports	08/02/2018
Sept. 2016 Packet		10/31/2016	6 to 20	Board received reports	10/31/2017

Notes from staff analysis
Other outcome report
Other written or online reports
Strategic plan (including appendices)

Operations and Accountability - Category 9: Data and Analysis

Standard 9.4

The department submits its annual CSBG Information Survey data report and it reflects client demographics and CSBG-funded outcomes.

Guidance

- See State CSBG Lead Agency for specifics on submission process.
- The CSBG Information Survey data report already requires the reporting of client demographics and organization-wide outcomes. This standard does not require additional data collection or reporting.

Organization Self-Assessment

- Met
  Not Met

Reviewer Assessment

- Met
  Not Met
  In Process

Reviewer Notes:

This standard has been met with the attached supporting documentation.

Documentation Used:

Backup documentation gathered agency-wide to support submission

Document	Description	Document Date	Reference	Notes	Expires On
2016 CSD 295		08/03/2017	All Pages	Per CSD, IS Report meets this standard	08/03/2018

CSBG Information Survey data report

Document	Description	Document Date	Reference	Notes	Expires On
2016 CSD 090 report		08/03/2017	All Pages	Per CSD, IS Report meets this standard	08/03/2018

Email or upload documentation reflecting submission
Other written or online reports

FY 2018 Community Agencies Report Review Schedule

	Month	Agency	Program
1	January	Bay Area Outreach & Recreation Program	Recreational Services for Disabled
2	February	Berkeley Community Gardening Collab. (Ecology Ctr) (Com.Gardens)	Urban Agriculture & Healthy Food
3	February	Berkeley Free Clinic	Funding for free women and transgender health care services at the Berkeley Free Clinic
4	March	Berkeley Place, Inc.	Deaf/Disability Project
5	March	Bonita House	Creative Wellness Center (CWC)
6	April	East Bay Community Law Center	Justice Clinic/Housing Advocacy
7	May	Easy Does it	Disabled Services
8	June	Family Violence Law Center	Domestic Violence & Homeless Prevention (DVHP)
9	June	J-Sei	Senior Services
10	July	Lifelong Medical Care	Primary Care/Acupuncture
11	July	Lifelong Medical Care	Geriatric Care/Hypertension
12	September	McGee Avenue Baptist Church	Meals Program
13	September	Multicultural Institute	Lifeskills Program
14	October	SEEDS Community Resolution Center	Comm Mediation & Conflict Res.
15	November	South Berkeley Community Church	Nutrition Program
16	November	Through The Looking Glass	Berkeley Parenting & Disability Project

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City of Berkeley
Community Agency   Contract No: 10010A
CLIENT CHARACTERISTICS REPORT

Agency:	McGee Avenue Baptist Church	Period of:	**FY 2017**
Program:	Food Program	Report Prepared By:	Wesley M. Franklin
Phone:	510-827-9210	E-mail:	wes2545@comcast.net

ANNUAL ACCOMPLISHMENTS:

Provide a short summary of your FY annual accomplishments:

Meals are served each week on Monday, Wednesday and Friday. During the fiscal year thousands of meals were served. In addition, during the holidays special meals and food baskets were prepared. The program, which was established over 30 years ago, continues to maintain a strong and good presence in the community. A dedicated group of volunteers continues to assist in this valuable program.

List below any fiscal year programmatic and administrative problems encountered and status:

The biggest challenge to the Food Program this past fiscal year continues to be related to the ongoing budget issues facing McGee Baptist Avenue Church and other religious/non-profit organization in the community; that is lack of enough funds to do all that it can to fulfill its food mission. The church remains strongly committed to its community food program, but funding is always a challenge and we continue to seeks ways to improve funding.

Date Signed	07/27/2017

Approved By	Raquel Molina
Date Signed	08/03/2017

Initially submitted: Jul 27, 2017 - 20:08:23

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CITY OF BERKELEY
COMMUNITY AGENCY STATEMENT OF EXPENSE
04/01/2017 TO 06/30/2017

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

Agency Name: McGee Avenue Baptist Church   Contract #: 10010A

Program Name: Food Program   PO #: 105579

Funding Source : General Fund

Expenditure Category	Staff Name	Approved Budget	Jul-Sep 2016	Oct-Dec 2016	Jan-Mar 2017	Apr-Jun 2017	Total Expenditure	Budget Balance
Cook	Norm Franklin	$10,104.00	$2,526.00	$2,526.00	$2,526.00	$2,526.00	$10,104.00	$0.00
Dishwasher	Mack Stallworth	$1,800.00	$450.00	$450.00	$450.00	$450.00	$1,800.00	$0.00
Table Monitor	Lorenzo Thomas	$3,120.00	$780.00	$780.00	$780.00	$780.00	$3,120.00	$0.00
Custodial Services		$115.00	$29.00	$29.00	$28.00	$29.00	$115.00	$0.00
TOTAL		$15,139.00	$3,785.00	$3,785.00	$3,784.00	$3,785.00	$15,139.00	$0.00

Advances Received $15,139.00
Underspent/(Overspent) $0.00

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

Upload of General Ledger and Summary Income/Expenditure Statement (required):

General Ledger: McGee_-_Food_Program_-_General_Ledger_FY2016_-2017_-_7.27.17.pdf
Summary Income/Expenditure Statement:
McGee_-_Food_Program_-Revenues_and_Expenses_-_FY2016_to_2017_-_7.27.17.pdf
Other:
Other:

☑ Expenditures reported in this statement are in accordance with our contract agreement and are taken from our books of account which are supported by source documentation.

☑ All federal and state taxes withheld from employees for this reporting period were remitted to the appropriate government agencies. Furthermore, the employer's share or contributions for Social Security, Medicare, Unemployment and State Disability insurance, and any related government contribution required were remitted as well.

Prepared By: Wesley M. Franklin   Email: wes2545@comcast.net   Date: 07/27/2017
Authorized By: Wesley M. Franklin   Email: wes2545@comcast.net
Name of Authorized Signatory with Signature on File

Approved By:	Examined By:	Approved By:
Raquel Molina 08/21/2017	_____	_____
Project Manager Date	CSA Fiscal Unit Date	CSA Fiscal Unit Date

Initially submitted: Jul 27, 2017 - 20:15:17

City of Berkeley
Community Agency
CLIENT CHARACTERISTICS REPORT

Contract No: 10011A

Agency:	Multicultural Institute
Program:	Lifeskills Program
Phone:	848-4075

Period of:	**2nd Half 2017**
Report Prepared By:	Rigoberto Calocarivas
E-mail:	rcr@mionline.org

1. CLIENT SUMMARY - 2nd Half

	2nd Half	YTD
A. Total New Clients Served by the Program (Berkeley and Non-Berkeley)	219	745
B. Total New Berkeley Clients Served for Whom You Were Able to Gather Statistics on Age, Race/Ethnicity, and Income:	69	405
C. Total New Berkeley Clients Served for Whom You Were **NOT** Able to Gather Statistics on Age, Race/Ethnicity, and Income:	85	213
D. Total New Berkeley Clients Served:	154	618

2. DEMOGRAPHIC DATA

RACE - Unduplicated Count	Previous Periods		Report Period		Year-To-Date	
Single Race Categories	Non-Hispanic	Hispanic Ethnicity	Non-Hispanic	Hispanic Ethnicity?	Non-Hispanic	Hispanic Ethnicity
American Indian/Alaskan Native	0	0		69	0	69
Asian	0	0			0	0
Black/African American	0	0			0	0
Native Hawaiian/Pacific Islander	0	0			0	0
White	0	0			0	0
Combined Race Categories						
American Indian/Alaskan Native & White	0	0			0	0
Asian & White	0	0			0	0
Black/African American & White	0	0			0	0
American Indian/Alaskan Native & Black/African American	0	0			0	0
Other Combined Race Categories	2	334			2	334
TOTALS	2	334	0	69	2	403
TOTAL SERVED	336		69		405	

3. INCOME LEVEL

Income Level - Unduplicated Count	Previous Periods	This Period	YTD
Poverty	319	69	388
Poverty to 30% of AMI (Ex. Low)	17		17
31-50% of AMI (Low)	0		0
51-80% of AMI (Moderate)	0		0
Above 80% of AMI	0		0
TOTALS	336	69	405

4. AGE

Age - Unduplicated Count	Previous Periods	This Period	YTD
0-5	0		0
6-11	0		0
12-17	6	4	10
18-24	41	38	79
25-44	189	12	201

45-54	84	11	95
55-61	14	4	18
62 and Over	2		2
Unknown	0		0
TOTALS	336	69	405

5. OTHER CHARACTERISTICS

Other Characteristics - Unduplicated Count	Previous Periods	This Period	YTD
Female	22	25	47
Male	314	44	358
Disabled	0		0
Homeless	0		0
Chronically Homeless	0		0
Female Head of Household	0		0

6. SERVICE MEASURES

Service Measures	Annual Goal		1st Half		2nd Half		Served YTD		% Served	
	UOS	New Clients	UOS	New Clients	UOS	New Clients	UOS	New Clients	UOS	New Clients
***** Other Services *****										
1 Educational/Training Workshops	10	100	13	200	14	162	27	362	270%	362%
2 Number of Jobs	300	220	238	176	230	83	468	259	156%	118%
3 Community Service Days	8	100	6	43	6	34	12	77	150%	77%

1st Half Narrative

During this reporting period there were 336 unduplicated day laborers and 128 non-day laborer low-income individuals that received an array of services.That makes a total of 464 unduplicated individuals served this first half.MI has always been an advocate for fair wages and employment and has always been above what is required.As the minimum wage rises in different cities so does the living wage.Therefore, effective July 1st, 2016 MI strictly enforced a wage increase from a $15/hour minimum to an $18/hour minimum with a 3 or more hour shifts to all employers who hire through this program.There has been a positive reaction to this change and the majority of employers have accepted this wage without an argument.A total of 238 job matches for 176 unduplicated day laborers were completed this first half and 100 employers registered with MI.Staff continues to be very active in tracking employer and worker satisfaction and follows up with a phone call or email. 9 wage claims were resolved.

2nd Half Narrative

During this reporting period there were 69 new unduplicated day laborers and 85 new non-day laborer low-income individuals served through MI's different activities. That makes a total of 154 unduplicated individuals served this second half. MI continues to enforce an $18/hour minimum and 3 or more hour shifts to all employers who hire through this program. Depending on the skill level the hourly rate may increase from 18 to $20-$25/hour. 230 job matches to short-term and long-term jobs for 83 unduplicated day laborers were completed this second half and 70 new employers registered with MI. In addition there were 8 wage claims resolved successfully. One success story is that of Juan R., a Berkeley day laborer that did a landscape job completed it and was owed $1,300 in unpaid wages. A month passed after he finished the job and the employer had not yet paid him. Through MI's internal wage claim process and with MI's assistance Juan was able to receive his full unpaid wages.

7. OUTCOMES

Outcomes	Annual Goal	1st Half Achieved Outcome	2nd Half Achieved Outcome	Achieved Outcome YTD	% Achieved Outcome of Annual Goal	% Achieved Outcome of Total Served

1	Participants achieved enhanced skills or knowledge	100	200	162	362	362%	59%
2	Number of clients placed in jobs	250	176	83	259	104%	42%
3	Reduction in number of neighbor complaints	0	0	0	0		0%

1st Half Narrative

MI staff and day laborers while on the Hearst Avenue corridor, swept and cleaned up debris during 6 street clean-up, community events with a total of 43 day laborers participating. All together there were 13 educational/training workshops conducted. Workshops and # of participants (in parenthesis) are as follows: Best Practices for Job Estimates (24), Labor Rights (6), Wage Theft Prevention (12), Immigration (19), Immigration (11), Blood Pressure (19), Law Enforcement & Street Ordinance with Area 4 Police Coordinator (18), Health and Nutrition (8), STD (15), Flu Shoot (24)Diabetes risks and prevention (12) , Healthy Eating and Meal Prep.(14), Sugar Sweetened Beverages (SSB) and Healthier Choices (18).

2nd Half Narrative

 As part of community services 34 days day laborers and outreach staff swept and cleaned debris and trash during 6 different street clean-ups. In addition MI distributed its latest MI Links Newsletter on the topic of immigration to 75 individuals in the neighborhood. A total of 14 educational/training workshops were conducted this second half with 162 participants. Workshops and # of participants (in parenthesis) are as follows: Flu screening (8), Immigration Topics (8, 14), "Know your Rights" (27,6), Workers' Rights (7,6,11), Law Enforcement and City Ordinances with Area 4 Police Coordinator (9), Electricity and Work Safety (10), Sugar Sweetened Beverages (SSB) negative health effects (16, 15), Sugar Sweetened Beverages (SSB) healthy alternatives (18), and STDs (7).

Date Signed	07/28/2017

Approved By	Wing Wong
Date Signed	07/31/2017

Initially submitted: Jul 28, 2017 - 13:58:39

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CITY OF BERKELEY
COMMUNITY AGENCY STATEMENT OF EXPENSE
04/01/2017 TO 06/30/2017

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

Agency Name: Multicultural Institute   Contract #:   10011A

Program Name: Lifeskills Program   PO #:   105583

Funding Source :   ESG

Expenditure Category	Staff Name	Approved Budget	Budget Mod Q4	Revised Budget	Jul-Sep 2016	Oct-Dec 2016	Jan-Mar 2017	Apr-Jun 2017	Total Expenditure	Budget Balance
Program Director	Rudy Lara	$21,500.00	$-1.07	$21,498.93	$5,362.49	$5,362.49	$5,323.51	$5,450.44	$21,498.93	$0.00
Program Director - 2	Josue Revolorio	$20,900.00	$-0.06	$20,899.94	$5,225.00	$5,225.00	$5,232.67	$5,217.27	$20,899.94	-$0.00
Accountant	Phurbu Tsewabg	$3,800.00	$0.04	$3,800.04	$1,120.33	$1,044.42	$914.69	$720.60	$3,800.04	$0.00
Taxes/Benefits		$11,337.00	$0.34	$11,337.34	$2,817.66	$2,876.87	$3,544.56	$2,098.25	$11,337.34	$0.00
Program materials		$252.00		$252.00			$177.95	$74.05	$252.00	$0.00
Utilities		$2,800.00	$1.16	$2,801.16	$454.00	$372.00	$935.00	$1,040.16	$2,801.16	$0.00
Communications		$1,753.00	$-0.52	$1,752.48	$446.00	$235.00	$190.00	$881.48	$1,752.48	$0.00
Insurance		$1,200.00		$1,200.00	$400.00	$689.60		$110.40	$1,200.00	$0.00
Printing/Copying		$713.00	$0.11	$713.11	$199.00	$180.00	$135.00	$199.11	$713.11	$0.00
TOTAL		$64,255.00	-$0.00	$64,255.00	$16,024.48	$15,985.38	$16,453.38	$16,024.48	$64,255.00	-$0.00

Advances Received $64,255.00
Underspent/(Overspent) $0.00

Reason For Current Budget Modification:

Upload of General Ledger and Summary Income/Expenditure Statement (required):

General Ledger: Gen_Ledger_Lifeskill_CoB_July_16-June_17.xlsx
Summary Income/Expenditure Statement: Revenue__Exp_annual_06302017submitted_COB.xlsx
Other:
Other:

☑ Expenditures reported in this statement are in accordance with our contract agreement and are taken from our books of account which are supported by source documentation.

☑ All federal and state taxes withheld from employees for this reporting period were remitted to the appropriate government agencies. Furthermore, the employer's share or contributions for Social Security, Medicare, Unemployment and State Disability insurance, and any related government contribution required were remitted as well.

Prepared By: Phurbu Tsewang   Email: phurbu@mionline.org   Date: 08/04/2017

Authorized By: Rigoberto Calocarivas   Email: rcr@mionline.org
Name of Authorized Signatory with Signature on File

Approved By:	Examined By:	Approved By:
Wing Wong 08/18/2017	_____	_____
Project Manager Date	CSA Fiscal Unit Date	CSA Fiscal Unit Date

Budget Modification Approved By:

JVasquez   08/18/2017
Jennifer Vasquez   Date