SCO ID:

STATE OF CALIFORNIA
AGREEMENT SUMMARY
STD 215 (Rev. 04/2020)

AGREEMENT NUMBER	AMENDMENT NUMBER
22-OORHC-00002	

☐ CHECK HERE IF ADDITIONAL PAGES ARE ATTACHED

1. CONTRACTOR'S NAME		2. FEDERAL I.D. NUMBER
Catholic Charities of the Diocese of Santa Rosa		94-2479393
3. AGENCY TRANSMITTING AGREEMENT	4. DIVISION, BUREAU, OR OTHER UNIT	5. AGENCY BILLING CODE
Department of Housing and Community Development	Financial Assistance	N/A
6a. CONTRACT ANALYST NAME	6b. EMAIL	6c. PHONE NUMBER
Stephen Bedsworth	stephen.bedsworth@hcd.ca.gov	(916) 820-1801

7. HAS YOUR AGENCY CONTRACTED FOR THESE SERVICES BEFORE?

☑ No ☐ Yes *(If Yes, enter prior Contractor Name and Agreement Number)*

PRIOR CONTRACTOR NAME: N/A
PRIOR AGREEMENT NUMBER: N/A

8. BRIEF DESCRIPTION OF SERVICES
HUD-certified housing counseling service provider; meant to provide housing counseling services to OOR Applicants.

9. AGREEMENT OUTLINE *(Include reason for Agreement: Identify specific problem, administrative requirement, program need or other circumstances making the Agreement necessary; include special or unusual terms and conditions.)*
The ReCoverCA Owner-Occupied Rehabilitation/Reconstruction Program provides grants to reconstruct disaster-damaged homes primarily focused towards low-income survivors. Since the Program's compliance requirements may burden survivors with financial obligations such as carrying fire insurance, the OOR Program needs to procure an outside housing counseling service to advise applicants in order for them to make an informed decision about whether to proceed with the Program or not. Therefore, the Program needs this agreement to procure three HUD-certified housing counseling agencies to provide in-person and remote counseling coverage to all 13 disaster-impacted counties.

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

☐ Monthly Flat Rate ☐ Quarterly ☐ One-Time Payment ☑ Progress Payment
☑ Itemized Invoice ☐ Withhold ____ % ☐ Advanced Payment Not To Exceed
☐ Reimbursement / Revenue ________ or ____ %
☑ Other *(Explain)* monthly payments based on costs incurred by contractor

11. PROJECTED EXPENDITURES

FUND TITLE	ITEM	FISCAL YEAR	CHAPTER	STATUTE	PROJECTED EXPENDITURES
Federal Trust Fund	*2240-1012-0890*	22/23	06	2020	$267,742.00

OBJECT CODE 5432500-Grants and Subventions-Non-Governmental	AGREEMENT TOTAL	**$267,742.00**

OPTIONAL USE 22402000/46445-$128,516.00 22402000/46446 - $139,226.00	AMOUNT ENCUMBERED BY THIS DOCUMENT $267,742.00 PRIOR AMOUNT ENCUMBERED FOR THIS AGREEMENT $0.00
I certify upon my own personal knowledge that the budgeted funds for the current budget year are available for the period and purpose of the expenditure stated above.	TOTAL AMOUNT ENCUMBERED TO DATE $267,742.00

ACCOUNTING OFFICER'S SIGNATURE	ACCOUNTING OFFICER'S NAME *(Print or Type)*	DATE SIGNED
Ashley.Cruz Digitally signed by Ashley.Cruz Date: 2022.09.22 09:08:32 -07'00'	Ashley Cruz	09/22/2022

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12. AGREEMENT

AGREEMENT	TERM FROM	TERM THROUGH	TOTAL COST OF THIS TRANSACTION	BID, SOLE SOURCE, EXEMPT
Original	11/10/2022	08/15/2025	$267,742.00	Exempt
Amendment 1				
Amendment 2				
Amendment 3				
		TOTAL	$267,742.00	

13. BIDDING METHOD USED
- ☐ Request for Proposal (RFP) *(Attach justification if secondary method is used)*
- ☐ Use of Master Service Agreement
- ☐ Invitation for Bid (IFB)
- ☑ Exempt from Bidding *(Give authority for exempt status)*
- ☐ Sole Source Contract *(Attach STD. 821)*
- ☐ Other *(Explain)* SCM Vol. 1, 5.80, B.2.b

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

14. SUMMARY OF BIDS *(List of bidders, bid amount and small business status) (If an amendment, sole source, or exempt, leave blank)*

15. IF AWARD OF AGREEMENT IS TO OTHER THAN THE LOWER BIDDER, EXPLAIN REASON(S) *(If an amendment, sole source, or exempt, leave blank)*

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

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

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

AUTHORIZED SIGNATURE	SIGNER'S NAME *(Print or Type)*	DATE SIGNED
	N/A	N/A

18. FOR AGREEMENTS IN EXCESS OF $5,000: Has the letting of the agreement been reported to the Department of Fair Employment and Housing? ☐ No ☐ Yes ☑ N/A

19. HAVE CONFLICT OF INTEREST ISSUES BEEN IDENTIFIED AND RESOLVED AS REQUIRED BY THE STATE CONTRACT MANUAL SECTION 7.10? ☐ No ☐ Yes ☑ N/A

20. FOR CONSULTING AGREEMENTS: Did you review any contractor evaluations on file with the DGS Legal Office? ☐ None on file ☐ No ☐ Yes ☑ N/A

21. IS A SIGNED COPY OF THE FOLLOWING ON FILE AT YOUR AGENCY FOR THIS CONTRACTOR?
A. Contractor Certification Clauses ☐ No ☐ Yes ☑ N/A
B. STD 204 Vendor Data Record ☐ No ☑ Yes ☐ N/A

22. REQUIRED RESOLUTIONS ARE ATTACHED
☐ No ☑ Yes ☐ N/A

23. IS THIS A SMALL BUSINESS AND/OR A DISABLED VETERAN BUSINESS CERTIFIED BY DGS?
☑ No ☐ Yes
SB/DVBE Certification Number: N/A

24. ARE DISABLED VETERANS BUSINESS ENTERPRISE GOALS REQUIRED? (If an amendment, explain changes if any) ☐ No *(Explain below)* ☐ Yes ______ % of Agreement
N/A - Grant Agreement with no opportunity for subcontractor

25. IS THIS AGREEMENT (WITH AMENDMENTS) FOR A PERIOD OF TIME LONGER THAN THREE YEARS? ☑ No ☐ Yes *(If Yes, provide justification below)*

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22-OORHC-00002	

I certify that all copies of the referenced Agreement will conform to the original agreement sent to the Department of General Services.

SIGNATURE	NAME/TITLE *(Print or Type)*	DATE SIGNED
Stephen Bedsworth	Stephen Bedsworth / Contracts Analyst	9/23/2022

SCO ID:

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

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

N/A

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

SIGNATURE	NAME/TITLE *(Print or Type)*	DATE SIGNED	
PHONE NUMBER	STREET ADDRESS		
EMAIL	CITY	STATE	ZIP

EXHIBIT A

AUTHORITY, PURPOSE, AND SCOPE OF WORK

1. Authority & Purpose

The California Department of Housing and Community Development (hereinafter "Department" or "HCD") is the lead and responsible entity for administering the Community Development Block Grant – Disaster Recovery (hereinafter "CDBG-DR") funds appropriated under the Supplemental Appropriations for Disaster Relief Requirements (Appropriations Act), under United States Public Laws 115-56, 115-123, 115-254, and 116-20 to provide assistance in long-term recovery from the following 2017 and 2018 qualified federally declared natural disasters: DR-4344, DR-4353, DR-4382, and DR-4407.

2. Scope of Agreement

A. Grant Funds

Subject to the terms and conditions of this Standard Agreement (hereinafter "Agreement"), the Department has allocated and agrees to provide grant funds in the maximum amount identified in Exhibit B, Section 1 – Budget herein to the subrecipient identified as "Contractor" on page 1, Section 1 of the STD 213 form (hereinafter "Subrecipient") for all Work (defined below) identified in this Agreement (hereinafter "Subrecipient Award"). All payments made to the Subrecipient will adhere to the provisions described in Exhibit B herein. In no instance shall the Department be liable for any costs in excess of this amount, nor for any unauthorized or ineligible costs or expenses.

B. Implementation of Agreement

By entering into this Agreement and thereby accepting the Award of grant funds, the Subrecipient agrees to comply with and implement this Agreement in a manner satisfactory to the Department and HUD and consistent with all applicable laws, regulations, policies and procedures as may be required from time to time as a condition of the Department providing the grant funds, including but not limited to, all applicable CDBG-DR Program Administration and Compliance requirements set forth by this Agreement, and in accordance with the Application documentation previously provided by the Subrecipient and made a part hereof. The Department's providing of grant funds under this Agreement is specifically conditioned on Subrecipient's compliance with this provision and all terms and conditions of this Agreement, as well as the final Program policies and procedures, once completed, and the most recently published version of the Department's CDBG-DR Action Plan for 2017

EXHIBIT A

disasters (https://www.hcd.ca.gov/community-development/disaster-recovery-programs/cdbg-dr/docs/March-2019-HCD-CDBG-DR-ActionPlan-APPROVED.pdf) and for 2018 disasters (https://www.hcd.ca.gov/community-development/disaster-recovery-programs/cdbg-dr/cdbg-dr-2018/docs/HCD-CDBG-DR-2018_AP-Final-ADA-English.pdf) and any amendments thereto, related Federal Register notices, and the requirements of the authorities cited above, as the same may be amended from time to time.

This Agreement is subject to written modification and termination as necessary by the Department in accordance with requirements contained in any future state or federal legislation and/or state or federal regulations. All other modifications must be in written form and approved by both parties.

3. Subrecipient Scope of Work

A. The Subrecipient shall provide the funded housing counseling activities (hereinafter "Work") as described in 24 CFR, part 214 to ReCoverCA Homeowner Assistance program clients to assist them in improving their housing conditions and in meeting the responsibilities of tenancy or homeownership, as well as assisting clients in determining if rebuilding, homeownership, or tenancy is the best outcome for them. The housing counseling activities shall consist of:

i. Counseling. The Subrecipient must offer and be able to provide counseling, as opposed to just education, to current and potential homeowners or tenants to assist them in improving their housing conditions and in meeting the responsibilities of homeownership or tenancy. Participating agencies must provide counseling on the topics outlined in Section 3(D) herein.

ii. Education. All Subrecipients that offer group educational sessions must also offer individual counseling on the same topics covered in the group educational sessions.

iii. Setting/Format. HCD will refer clients to the Subrecipient based on where, geographically, the client is currently located. Counseling services may take place in the office of the Subrecipient, at an alternate location (for example at a public library), or through an alternative format, as long as the alternative format or location is mutually acceptable to the housing counselor and client. Alternative formats can include telephonic counseling or remote counseling systems designed using virtual meeting technology such as Skype, Teams, Zoom, etc., video cameras and the internet. Virtual meeting technology systems can also be used to deliver group education workshops and sessions. If a referred client requests in-

EXHIBIT A

person counseling in a geography outside of the in-person geographic service area specified by the Subrecipient in Exhibit F, the Subrecipient will immediately inform HCD and HCD shall refer the client to a housing counseling service provider that provides in-person services in the client's geographic area.

iv. Work Plan. A Subrecipient must be in compliance with the scope of work as described in Section 3(D) herein as well as the approved work plan set forth in the Subrecipient's application included in the Agreement herein labeled Exhibit F. The Subrecipient shall deliver housing counseling services consistent with the Subrecipient's housing counseling work plan which must address all items listed here in Section 3.

v. Geographic Scope. For the purposes of this Agreement, the Subrecipient has specified in their response to the Housing Counseling Notice of Funding Availability (NOFA), herein and set forth in Exhibit F, the geographic scope they will provide in-person services and remote services in and must provide all Work in those areas.

vi. Civil Rights. The Subrecipient must administer their housing counseling programs in accordance with and remain in compliance with all corresponding State and Federal regulations and guidance and the following nondiscrimination regulatory and legislative requirements:

a. Title VI of the Civil Rights Act of 1964,
b. Title VIII of the Civil Rights Act of 1968,
c. Executive Order 11063,
d. Section 504 of the Rehabilitation Act of 1973,
e. The Age Discrimination Act of 1975
f. Americans with Disabilities
g. Title IX of the Education Amendments of 1972.
h. The Fair Employment and Housing Act (federal)
i. The Unruh Civile Rights Act of 1959
j. California Fair Employment and Housing Act

The California requirements expand upon the federal requirements and are designed to prevent discrimination in the delivery of benefits and services because of race, color, religion, sex/gender, gender identity, gender expression, sexual orientation, marital status, medical condition, military or veteran status, national origin, ancestry, disability (mental and physical), genetic information, or age (over 40).

EXHIBIT A

vii. Fair Housing. In accordance with Section 808(e)(5) of the Fair Housing Act, the Subrecipient must affirmatively further fair housing for classes protected under the Fair Housing Act (Protected classes include race, color, national origin, religion, sex, disability, and familial status.) the Subrecipient is expected to help remedy discrimination in housing and promote fair housing rights and fair housing choice.

viii. Accessibility and Facilities. In accordance with 24 CFR 214.103 the Subrecipient, its branches, affiliates, and sub-grantees must (1) Have a clearly identified office, with space available for the provision of housing counseling services. The office should operate during normal business hours and offer extended hours when necessary; (2) Provide privacy for in-person counseling and confidentiality of client records; (3) Provide accessibility features or make alternative accommodations for persons with disabilities, in accordance with section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), 24 CFR parts 8 and 9, and the Americans with Disabilities Act (42 U.S.C. 12101 et seq).

ix. Religious Discrimination and Influence. The Subrecipient and their affiliates and branches are prohibited from:(1) discriminating on behalf of or against any segment of the population in the provision of services or outreach, including those of other religious affiliations; and, (2) requiring religious instructions or religious counseling, conducting mandatory religious services or worship, engaging in religious proselytizing, and exerting religious influence in the provision of assistance under the Subrecipient’s or its affiliate’s or branch’s housing counseling Work.

x. Limited English Proficiency (LEP). The Subrecipient must make reasonable efforts to provide language assistance to persons who are LEP. See guidance in “Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons” published in the Federal Register on January 22, 2007, or an updated version, to determine the extent of the assistance the Subrecipient should offer based on the client’s circumstances.

All clients referred to the Subrecipient by the ReCoverCA Homeownership Assistance program must be served. In cases where the Subrecipient does not offer the unique services requested by the client, is unable to communicate effectively with the client or does not have sufficient resources, the Subrecipient must inform the ReCoverCA Homeownership Assistance program immediately.

EXHIBIT A

B. Client Intake. The Subrecipient's housing counselor(s) or administrative staff who is/are trained in requirements of the Privacy Act may obtain basic information to determine if the Subrecipient can assist a client referred by the ReCoverCA Homeownership Assistance Program, schedule an appointment with a housing counselor or refer the potential client to other resources. This client intake process is not housing counseling.

C. Information Dissemination and Correspondence. In accordance with 24 CFR 8.6 (Effective Communication and 214.103(I)(3)), Subrecipients should indicate on correspondence materials disseminated to clients and prospective clients how to access information through alternative means if they have an impairment, disability, or language barrier, etc. For example, written communications may include instructions on how to contact the Subrecipient via TTY, Relay services or access translation or interpreter services. Additionally, written communication should ask clients and prospective clients whether they need assistance for mobility impairments, visual or hearing impairments or other disabilities.

D. Counseling Services. In order for a client to be classified as counseled under HUD's Housing Counseling program, the client must receive all of the basic services outlined in 24 CFR §214.300(6)(b) and Items i – iv below. A housing counselor must perform and document these activities.

i. Housing counseling. The client must have received counseling on at least one of the topics described in subparagraph I below that enables them to make informed and reasonable decisions to achieve his or her housing goal.

ii. Discussion of Alternatives. Counseling must include a reasonable discussion of alternatives and options available to the client. To accomplish this, counselors may discuss specific products, features, properties or programs.

For example, this type of discussion may occur if a recipient of pre-purchase counseling asks questions about a specific loan product or feature, or if the counselor feels that having information about a specific product, feature, property or program is in the best interest of the client.

However, if a counselor discusses specific products, features, properties or programs, they must provide at least three reasonable and comparable alternatives. Therefore, in the example provided the counselor should have given the client the opportunity to consider products from at least three different lenders.

EXHIBIT A

Additionally, when discussing specific loan products or features, at least one of the alternatives discussed by the counselor must be Federal Housing Administration (FHA) products or features, the Federal Government's safe and affordable options for home finance.

Counselors must not advise clients, or promote specific products, features or programs. Their role is to simply make counseling recipients aware of their options and empower them with the information they need to help them make smart choices. Any discussion of alternative options should be documented in client files.

iii. Action Plan. Housing counselors and clients must establish an action plan. The action plan outlines what the housing counselor and the client will do in order to meet the client's housing goals and, when appropriate, addresses the client's housing problem(s).

iv. Financial Analysis. Every housing counseling session requires an analysis of the client's unique financial situation. This includes but is not limited to:

a) A review of the client's income, expenses, spending habits, home values and use of credit.

b) A comparative analysis of the client's spending habits to determine if the client's habits are more suitable for renting than owning.

c) The establishment of a household budget that the client can afford.

E. Referrals. If a Subrecipient is unable to provide a service and the Subrecipient is aware of a local, state, and federal resource that would help meet the client's needs, the Subrecipient should make the ReCoverCA Homeownership Assistance program aware of this and make referrals to such resources. Referrals made by counselors should be documented in the client file. Examples of referrals may include social service programs, energy assistance programs, fair housing agencies, legal services, etc. In no event or circumstance will the Department have any liability to the client or any other party for any referrals made by the Subrecipient.

F. Follow-up. Subrecipients must make a reasonable effort to have follow-up communication with the client, to assure that the client is progressing toward his or her housing goal, to modify or terminate housing counseling, and to learn and report outcomes. Client follow-up should be conducted by a qualified housing

EXHIBIT A

counselor. Per the most recently published version of the ReCoverCA Housing Counseling Policies and Procedures.

G. Client File. Set up a confidential client file documenting the activities required by this Work in accordance with applicable HUD approved housing counseling program requirements.

H. Termination of Counseling. In alignment with Sections F and G, herein, the Subrecipient must document in the client's file when housing counseling services are terminated. The housing counselor must notate the client's file with the date and cause/explanation of termination. Client files must not remain open indefinitely. All terminations of counseling must follow the requirements as set forth in the most recently published version of the ReCoverCA Housing Counseling Policies and Procedures and associated federal requirements for contact attempts, form of contact attempts and documentation.

NOTE: Pursuant to Exhibit B, Section 3A, if the Subrecipient does not have any client contact within a 90-day period, the Subrecipient must not bill or count the nonresponsive client as an active file against any future billing periods.

The Subrecipient should not bill a client file against this ReCoverCA Housing Counseling Grant or continue to count the file as activity under the grant solely because the Subrecipient maintains the file in an open status. Actual counseling, education, preparation, or follow-up activity must occur to justify billing the ReCoverCA Housing Counseling Grant. If a client file remains open over multiple reporting cycles or quarters, the initial counseling or education activity is only billed once against the Housing Counseling Grant, in the quarter it occurred. Even if follow-up occurs in the next billing cycle, it is still a part of the initial counseling interaction already recorded in the previous quarter and must not be counted again. The Subrecipient can, however, bill the grant for follow-up activity that occurs as part of subsequent sessions.

Termination of counseling occurs or may occur under any of these conditions:

1. The client meets his or her housing need and the client has been referred to the appropriate ReCoverCA Homeownership Assistance program, or along with the client, determines, tenancy is the best housing option;
2. The Subrecipient determines that further housing counseling will not meet the client's housing need or resolve the client's housing problem;
3. The Subrecipient attempts to, but is unable to locate the client;
4. The client does not follow the agreed upon action plan;
5. The client otherwise terminates housing counseling;

EXHIBIT A

6. Client fails to appear for housing counseling appointments or fails to respond to Subrecipient inquiries concerning the client's progress in resolving his or her housing need or problem within the timeframe and protocols set forth in the most recently published version of the ReCoverCA Housing Counseling Policies and Procedures; or

7. Other circumstances beyond the participating Subrecipient's or client's control such as a natural disaster that might prevent continuation of counseling.

I. Approved Housing Counseling, Education topics. The following are examples of approved housing counseling, education topics that the Subrecipient may provide to, and discuss with, clients:

i. Pre-Purchase/Home Buying/Home Reconstruction. This includes but is not limited to: advice regarding readiness and preparation for maintaining homeownership following reconstruction, and/or new homeownership; Federal Housing Administration insured financing; housing selection and mobility; search assistance; fair housing, fair lending and predatory lending; budgeting and credit; loan product and feature comparison; purchase procedures and closing costs; money management (does not include debt management plan programs); selecting a real estate agent; and home inspection. Home maintenance and financial management for homeowners including the preservation of accessible housing features.

This also may include guidance on: alternative sources of mortgage credit; down payment assistance; locating housing that provides universal design and visibility; how to apply for special programs available to potential homebuyers; how to purchase a home using the Section 8 Homeownership Voucher Program; and referrals to community services and regulatory agencies.

Additionally, for homeownership or tenancy, counseling must include guidance on homeowner and rental insurance for multiple perils and/or standalone fire insurance such as the California Fair Plan. Counseling will include the different coverage levels and features including value coverage, replacement coverage, extended replacement coverage, and additional living expenses coverage, as well as providing information on what the different coverages mean in terms of the ability to recover from another fire or disaster, what the cost is, and how that cost may impact the client's finances.

ii. Resolving or Preventing Mortgage Delinquency or Default. This includes but is not limited to the consequences of default and foreclosure; loss mitigation, budgeting, and credit; restructuring debt; obtaining re-certification for mortgage subsidy; and establishing reinstatement plans. It

EXHIBIT A

may also include helping clients affected by predatory lending; foreclosure prevention strategies; explaining the foreclosure process; providing referrals to other sources; and assisting clients with locating alternative housing.

The earlier that the housing counselor and lender establishes contact with the client, identifies the cause of default and begins to discuss reinstatement options, the more likely it is that the default will be cured, and the homeowner will be able to retain ownership. Efforts to assist the client should ideally begin as soon as the loan becomes delinquent. The housing counselor should conduct follow-up housing counseling with the client on an as-needed basis until the default is corrected or the mortgage lender completes foreclosure, and the client has found alternate housing.

iii. Non-Delinquency Post-Purchase, including Improving Mortgage Terms and Home Improvement. Home maintenance and financial management for homeowners, including, but not limited to: escrow funds; budgeting; refinancing; home equity; home improvement; insurance costs; utility costs; energy efficiency; and rights and responsibilities of home owners.

It may also include: loan and grant options; housing codes and housing enforcement procedures; accessibility codes and how to design features to provide accessibility for persons with disabilities; non-discriminatory lending and funding for persons who modify their dwellings to accommodate disabilities; visibility and universal design; how to specify and bid construction work; and how to enter into and manage construction contracts including actions to address the non-performance of contractors.

iv. Locating, Securing, or Maintaining Residence in Rental Housing. This refers to rental topics including, but not limited to: HUD rental and rent subsidy programs; other federal, state, or local rental assistance; fair housing; housing search assistance; landlord tenant laws; lease terms; rent delinquency; budgeting for rent payments and renters insurance; and providing assistance with locating alternate housing.

v. Homeless Assistance. This includes but is not limited to information regarding emergency shelter; other emergency services; and transitional housing.

J. Fair Housing and Other Civil Rights Requirements and Guidance

i. **Nondiscrimination under 24 CFR §§ 5.105 and 214.503**

EXHIBIT A

Pursuant to 24 CFR § 214.503, all participating agencies must comply with HUD‟s general nondiscrimination and equal opportunity requirements at 24 CFR § 5.105. For additional information on fair housing, please visit the Office of Fair Housing and Equal Opportunity (FHEO) on HUD‟s website at www.hud.gov.

ii. **Promoting Fair Housing and Protecting Civil Rights**. All participating agencies must take reasonable steps to affirmatively further fair housing and to ensure that persons are not denied housing counseling services or treated differently on the basis of race, color, sex, religion, national origin, disability, or familial status:

iii. **Identify Impediments to Fair Housing Choice.** Participating agencies should review the Consolidated Plan and Analysis of Impediments (AI) that cover the jurisdictions in their service area. Another activity that participating agencies may undertake to identify barriers to fair housing choice is a review of their own policies, procedures, and facilities to see if they pose barriers to particular groups receiving housing counseling services.

iv. **Fair Housing Counseling and Education Activities.** The following are examples of fair housing counseling, education, and outreach topics that participating agencies may provide to, and discuss with, clients in accordance with HUD‟s regulations at 24 CFR § 214.300 – especially clients in groups that have experienced impediments to fair housing choice:

1. **Pre-purchase/Home buying--** including, but not limited to: advice regarding readiness and preparation, fair housing rights of clients, identifying housing and lending discrimination and predatory lending;
2. **Resolving or preventing mortgage delinquency--** including, but not limited to: default and foreclosure, rights of clients, identifying discriminatory or predatory loan terms, loss mitigation, budgeting, and credit;
3. **Home maintenance and financial management for homeowners--** including, the preservation of accessible housing features; and
4. **Rental topics**-- including, but not limited to: HUD rental and rent subsidy programs; other federal, state or local assistance; fair housing laws; housing search assistance; landlord tenant laws; lease terms; rights of Subrecipients and clients, rent delinquency; reasonable accommodations and modifications for persons with disabilities.

EXHIBIT A

v. **Responsibilities of intermediaries and sub grantees---** HUD funded grant recipients are obligated under various laws not to discriminate in housing or services directly or indirectly based on race, color, religion, sex, national origin, familial status, or disability. HUD regulations further require that recipients of Federal financial assistance comply with Civil Rights-Related Program Requirements (CRRPRs) that affect nearly every aspect of each program. The Subrecipient must adhere to these CRRPRs whether they receive Federal financial assistance or not as a condition of their participation in ReCoverCA Housing Counseling Program.) All intermediaries and sub grantees are held to the same nondiscrimination and equal opportunity responsibilities of direct recipients of ReCoverCA Housing Counseling Services program funds or resources, including but not limited to:

1. Maintaining records and actions taken.
2. Training of staff with applicable civil rights laws and their applications.
3. Counseling and Education and Activities.

Contracts and agreements between the Subrecipient and their affiliates or sub grantees, if any, must include terms to this effect.

vi. **How to File a Discrimination Complaint with HUD.** For complaints under the Fair Housing Act (42 U.S.C. § 3601, *et seq.*) (nondiscrimination because of race, color, national origin, sex, religion, disability, or familial status), clients of the Subrecipient and the ReCoverCA Homeownership Assistance program may file a discrimination complaint if they believe that they have been subjected to unlawful discrimination. The Subrecipient or a client's representative may file a complaint on the client's behalf. For complaints filed with HUD, the complaint must be filed no later than one year after the last alleged discriminatory act occurred.

If a Subrecipient has a client that needs fair housing assistance the Subrecipient should refer the client to a state, county, or municipal fair housing agency. Discrimination complaints that arise in a jurisdiction that administers a law that HUD has certified as substantially equivalent to the Fair Housing Act will be referred by HUD to the respective state or local government agency. For these certified agencies, the statute of limitations for filing a complaint may vary. For other civil rights complaints such as: Title VI of the Civil Rights Act, 42 U.S.C. § 2000d et seq., (prohibits discrimination on the basis of race, color, and national origin, codified at 24 C.F.R. part 1); Section 504 of the Rehabilitation Act of 1973 (prohibits discrimination based on disability in any program or activity receiving federal financial assistance, codified at 24 C.F.R. part 8); and Executive

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Order 11063 (prohibits discrimination on the basis of race, color, religion, national origin and sex, codified, 24 C.F.R. part 107), clients of participating agencies may file a discrimination complaint if they believe that they have been subjected to unlawful discrimination. Participating agencies or a client's representative may file a complaint on the client's behalf.

Complaints filed pursuant to Title VI of the Civil Rights Act and Section 504 of the Rehabilitation Act of 1973 shall be filed within 180 days of the alleged act of discrimination, unless the time limit is extended for good cause shown. Complaints filed pursuant to Executive Order 11063 must be filed within one year of date of the alleged act of discrimination unless the time for filing is extended by the Assistant Secretary for FHEO.

HUD offers multiple ways to file a complaint. The client, Subrecipient or a representative may: (1) File a written complaint with the nearest HUD office; or (2) Call the nearest HUD office or (3) Use the following link to access HUD‟s Fair Housing complaint form: http://www.hud.gov/offices/fheo/nov108online-complaint.cfm. Please note that the TTY numbers listed for those offices are not toll free, or call the toll free national TTY hotline at 1-800-927-9275. Please contact HUD‟s Office of Fair Housing and Equal Opportunity for additional information at 1-800-669-9777 or for the hearing impaired TTY 1 (800) 927-9275. A list of HUD local offices is available at http://www.hud.gov/complaints/housediscrim.cfm.

K. Industry Standards. HCD may require, promote or incentivize the adoption of, and implementation of, housing counseling and education standards, by the Subrecipient. These standards may include minimum acceptable counseling and education content and activities, training and testing. These industry standards may be developed or implemented by HUD or by other entities and endorsed by HCD.

L. Debt Management or Liquidation. HCD considers debt management service as an activity related to, but apart from, the ReCoverCA Housing Counseling Program process. Negotiating payment plans with creditors and handling the client's money and making payment to the creditors for the client are usually done under a separate client-counselor contract. If the Subrecipient provides this service, the Subrecipient must assure HCD in writing that they comply with all state and local laws, including agency bonding, that govern these services. Fees charged for this service must meet HUD's guidelines and are not related to or connected in any way at all to the ReCoverCA Housing Counseling Program being funded through this Agreement. HCD recognizes that a client may enter a

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debt management plan as a result of housing counseling. Administration of client debt management plans is not housing counseling and must not be included in an Subrecipient's housing counseling work plan or counseling activity reporting. The Department shall have no liability or obligation of any nature arising from the provision of any debt management services to a client by a Subrecipient or any of its housing counselors.

M. Knowledge of HUD Programs. The Subrecipient's housing counselors must have an up-to-date working knowledge of HUD housing and fair housing programs including FHA Single Family mortgage programs.

N. Referrals to Community Resources. The Subrecipient must have established working relationships with private and public service agencies or provide HCD with a plan to actively develop and engage local public service agencies in the geographic area the Subrecipient is completing the Work in, and commensurate with the timing of the Work as described in Exhibit F, that could assist clients, when additional services not offered by the Subrecipient are needed.

O. Discussion of For-Profit Entities. Helping clients resolve their housing problems may include discussing for-profit entities such as lenders or real estate professionals. If a client requests information or asks questions about a particular for-profit entity, or if the counselor feels that having information about a specific for-profit entity is in the best interest of the client, the Subrecipient may discuss the entity but must also identify and discuss a minimum of three reasonable alternative for-profit entities, if available.

In the case of lenders, the alternatives must include a discussion of FHA mortgage insurance programs and features.

NOTE: Counselors must not advise clients or promote specific for-profit entities. Their role is to simply make counseling recipients aware of their options and arm them with the information they need to help them make smart choices. Safeguards and disclosures must be used as described in The HUD Housing Counseling Handbook 7610.1 REV-5 Chapter 6, Paragraphs 6-1, Items F and G to avoid conflict of interest.

P. The Subrecipient shall perform the funded housing counseling activities described herein. All written materials or alterations submitted as addenda to the original Application, and which are approved in writing by the Department are hereby incorporated as part of the Application as set forth in Exhibit F. The Department reserves the right to require the Subrecipient to modify any or all parts of the Application in order to comply with CDBG-DR and ReCoverCA Homeownership Assistance program requirements. The Department reserves

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the right to monitor all Work to be performed by the Subrecipient, its contractors, and subgrantees in relation to this Agreement. Any proposed revision to the Work must be submitted in writing for review and approval by the Department and may require an amendment to this Agreement. Approval shall not be presumed unless such approval is made by the Department in writing.

Q. For the purposes of performing the Work, the Department agrees to provide the amount(s) identified in Exhibit B Budget. Unless amended, the Department shall not be liable for any costs in excess of the total approved budget. The Department shall not, under any conditions, be liable for any unauthorized or ineligible costs or costs not deemed reasonable and necessary by the Program (see Definitions in Exhibit D).

R. Housing Counseling Work carried out pursuant to this contract shall meet one of the two CDBG-DR National Objectives:

1. Benefit to Low/Moderate Income Persons; or
2. Urgent Need

S. Subrecipient shall collect data and submit reports to the Department in accordance with the reporting requirements detailed in Exhibit D.

T. If the Subrecipient uses subcontractors to carry out the Work, the Subrecipient shall monitor all housing counseling activities in accordance with the requirements of 2 CFR 200.300-200.346.

4. <u>Effective Date and Commencement of Work</u>

A. This Agreement is effective upon approval by the Department representative’s signature on page one of the fully executed Standard Agreement, STD 213 (the “Effective Date”).

B. Subrecipient agrees that no Work toward the implementation of the Program activity or program activity, as identified herein, shall commence prior to the execution of this Agreement by the Department without prior written authorization from the Department .

5. <u>Term of Agreement and Performance Milestones</u>

A. Term of Agreement:

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All grant funds, including grant closeout, must be expended by: **08/15/2025, unless expressly extended by the department in writing.** If CDBG-DR activity funds are not expended by the aforementioned deadline, the Department reserves the right to disencumber the Subrecipient's Award amount in this Agreement by the amount then unspent.

This Agreement will expire on: **08/15/2025**

B. Performance Milestones: Subrecipient shall adhere to the performance milestones below. Time is of the essence with respect to all such milestones.

1. Subrecipient must submit monthly report data. The contents of the report shall comply with the requirements set out in Exhibit D.

2. All HCD-referred clients must be contacted within 7 calendar days from the date of referral.

3. Subrecipient will make every effort to ensure completion of the client's action plan within 90 calendar days from the date of referral. Subrecipient will report on the progress of all clients whose action plans have not been completed within 90 calendar days.

Failure to meet performance milestones:

If any performance milestones listed above are not met, the Department reserves the right to withhold further payments to Subrecipient until such time as satisfactory progress is made toward meeting the performance measures. Subrecipient shall diligently work with CDBG-DR staff to submit: (a) a written mitigation plan specifying the reason for the delay; (b) the actions to be taken to complete the task that is the subject of the missed measure deadline; and, (c) the date by which the completion of said task will occur.

The Department reserves the right to reallocate unobligated grant funds within the CDBG-DR program, in its sole and absolute discretion if the Department determines the Subrecipient is unable to meet the performance milestones in a timely manner following the failure to meet said milestones. The Department reserves all rights and remedies available to it in case of a default by Subrecipient of its responsibilities and obligations under the terms of this Agreement. All

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remedies available to the Department are cumulative and not exclusive.

C. The Subrecipient and its Contractors, as applicable, shall adhere to all Program performance and milestones as established above.

8. CDBG-DR Program Contract Management

A. Department Contract Manager: The Department Contract Manager for this Agreement is the CDBG-DR OOR Program Manager or the Program Manager's designee. Written communication regarding this Agreement shall be directed to the Department Contract Manager at the following address:

CA Department of Housing and Community Development
Division of Financial Assistance – Disaster Recovery Branch
P.O. Box 952054
Sacramento, CA 94252-2054

B. Contract Management: Day-to-day administration of this Agreement shall take place via Grants Network, including but not limited to:

1. Financial Reports (Funds Requests)
2. Activity Reports
3. Other Reports, as required
4. Submittal of any and all requested supporting documentation
5. Standard Agreement Issuance and Amendments

C. Subrecipient Contract Administrator: The Subrecipient Contract Administrator (must be a Subrecipient employee) is identified in the Profile attached to Exhibit F. Unless otherwise directed by the Department, any notice, report, or other communication required by this Agreement shall be directed via Grants Network or written to the Subrecipient's Contract Administrator.

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BUDGET DETAIL AND PAYMENT PROVISIONS

1. Budget

A. Budget Detail: The activity shall follow the budget as detailed in Exhibit E, Section VI.

B. Program Income: All Program Income is considered a part of state administered CDBG-DR funding and is subject to the same federal requirements for financial administration as grant awards. Program Income, including both cash-on-hand and future projected receipts, if identified as a funding source for any given activity, must be included in the activity budget and must be substantially expended prior to drawing grant award funds. Program Income must be identified separately from grant funds in the activity budget and must be broken out into activity and general administration funding, as applicable. The Department will not encumber locally administered Program Income against NOFA grant funds in the state's accounting system. Only new grant awards made under a NOFA or in conjunction with an Urgent Need application will be encumbered in the state's accounting system.

Funding in this Agreement may include, as applicable, either or both:

1) The total new grant award from the NOFA to be encumbered by the Department from grand funds; and/or

2) The total locally held Program Income acquired as a result of grant-funded activities by the Subrecipient that will **not** be encumbered by the Department.

This Agreement is for the sum total of funds to be used in the activity including grant funds and Program Income, as applicable. Program Income receipts, if applicable, must be reported no less frequently than quarterly.

C. Other Non-State CDBG-DR Funding Sources: The Subrecipient shall report on the value of other contributions included as leverage for each activity via the Funds Request (Financial Report) required for such activity. In Grants Network, funds

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request is called a financial report. The Financial Reports shall be accessed through Grants Network portal, the online grant management system. Disaster Recovery Grant Reporting System (DRGR), Department of Housing and Urban Development (HUD) System.

2. Availability of Funds

The Department's provision of funding to Subrecipient pursuant to this Agreement is contingent on the continued availability of CDBG-DR funds and continued federal authorization for CDBG-DR activities, as well as the conditions set forth in Exhibit D, Section 34. The Department's provision of funding is subject to amendment or termination due to lack of funds or authorization. This Agreement is subject to written modification or termination as necessary by the Department in accordance with requirements contained in any future state or federal legislation and/or state or federal regulations. All other modifications must be in written form and approved by both parties.

3. Eligible Costs

A. No activity costs may be incurred, or funds reimbursed, until the Subrecipient has documented compliance with all applicable National Environmental Protection Act (NEPA) requirements established in 24 CFR 50, 24 CFR 58, and 42 USC 4321, et seq.

Activity Delivery costs may be incurred prior to documented NEPA and CEQA compliance. See Section 4(A)(3) below for reimbursement requirements of Activity Delivery costs.

B. Allowable Costs: Allowable costs shall mean those necessary and proper costs under 2 CFR 200.400 through 475, and as identified in the Subrecipient's application and as detailed in Exhibit E, Section VI, and as approved by the Department unless any or all such costs are disallowed by the State of California or HUD. Allowable costs include necessary and proper activity and administration costs incurred prior to the execution of this Agreement. All costs incurred prior to the execution of this Agreement must be eligible to be considered allowable and suitable for reimbursement. Eligible costs must, at a minimum, be costs incurred

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according to the procurement requirements of 2 CFR 200.317, et seq. and be costs required for the activity in this Agreement to meet a National Objective.

C. Priority of Funds: The Subrecipient agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available. To the extent available, the Subrecipient must disburse funds from locally held funding intended for the same purposes prior to using CDBG-DR grant resources such as, but not limited to, Program Income, rebates, refunds, contract settlements, audit recoveries, and interest earned on such funds before requesting additional cash payments from the grant award.

D. Duplication of Benefits: Subrecipients may not use CDBG-DR funds for activities or expenditures that have been previously reimbursed or provided for by another federal, state or local agency or any other potential sources of assistance. If a duplication of funding occurs, the Subrecipient must return the CDBG-DR funds expended that resulted in the duplication.

E. Withholding Funds: The Department reserves the right to withhold payments pending timely delivery of program reports or documents as may be required under this Agreement. Payments are contingent upon the Subrecipient's financial management system meeting the requirements of 2 CFR 200.302, and the internal control requirements of 2 CFR 200.303. Payment may be suspended or terminated, in whole or in part, by the Department in its sole discretion in the event of a default by Subrecipient, including without limitation, the failure of Subrecipient to meet any Performance Milestone deadlines set forth herein.

F. Disencumbering Funds: The Subrecipient agrees that funds determined by the Department to be surplus upon completion of the activity, or that have not been spent by Subrecipient prior to the expenditure deadline will be subject to disencumbrance by the Department.

G. Indirect Costs: If Subrecipient wishes to charge for indirect costs, the Subrecipient must develop an indirect cost allocation plan for determining the appropriate CDBG-DR share of such indirect costs and submit such plan to the Department for approval prior to submission of requests for any payments for the indirect cost

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expenditures.

H. Pre-Agreement Costs: Pre-Agreement Costs are eligible costs incurred prior to the award of funds as defined in Exhibit D, Section 1. Eligible Pre-Agreement costs as identified in Exhibit E, Section VI, Project Budget, may only be reimbursed upon the full execution of this Agreement and verification that the costs meet all eligibility criteria.

The Subrecipient agrees that any Pre-Agreement costs **not** previously identified in Exhibit E, Section VI, Project Budget, will **not** be paid by the Department.

I. Administration Funds: Costs related to the management, oversight and administration of a grant-funded project are considered administrative costs under CDBG-DR. Inclusion of eligible administration costs for the Subrecipient will be at the sole discretion of the Department. The Subrecipient may request reimbursement of administration costs incurred from the administration of any project under this agreement only if included in the activity budget.

4. Method of Payment

The Department will not authorize payments unless it has determined the costs incurred are in compliance with the terms of this Agreement. Financial Report through must be for a minimum of $1,000.00, with the exception of the final funds request, which must be marked “Final”. Payments will be issued to the agency identified on the Taxpayer Identification Form (TIN) provided by the Subrecipient to the Department.

A. Reimbursements: The Department will reimburse the Subrecipient its allowable costs for the services identified in this Agreement in Exhibit E, Section VI, upon presentation of invoices which Subrecipient certified are true and correct copies of payments due on behalf of the Subrecipient for the activity covered by this Agreement and made in accordance and compliance with Exhibit A, Scope of Work. The Subrecipient may not request reimbursements under this Agreement until the funds are needed for payment of eligible costs. The amount of each request must be limited to the amount needed.

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1) To receive reimbursement for grant activities, including reimbursement for eligible Pre-Agreement costs, the Subrecipient must submit a "Reimbursement Request," which shall include all Department required forms as according to the applicable deadlines. Financial Reports and Activity Reports are to be submitted once per month.

Activity Reports capture milestones and the progress of the reporting period. Financial Reports shall include the level of documentation specified by the Department, including proof of expenditure, and proof of cost eligibility. Subrecipients must submit documentation supporting cost amounts and cost eligibility with each funds request as part of the Financial Report.

2) Subrecipients shall submit funds requests (Financial Reports), as defined in 1(C), according to the schedule selected above. If no funds have been expended, the Subrecipient shall provide a description of work completed and an explanation of why no funds have been expended.

3) Financial Reports shall be paid only after such costs are incurred for Work completed, provided the Department determines that the Project Milestones (see Exhibit E) in this Agreement are on track. Subrecipient may expend up to the indicated Activity Delivery amount as identified in Exhibit E.

B. Advances: The Subrecipient must receive prior written approval from the Department before submitting an advance request. All advances are subject to the Department's consent, which may be given or withheld on its sole discretion. No advances will be issued prior to full Agreement execution.

C. Final Payment Requests:

1) Funds Requests (Financial Report): All requests for final reimbursement must be submitted through Grants Network before the Expenditure Deadline referenced in Exhibit A, Section 4 of this Agreement.

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2) Reimbursement of Advance Payment: The last advance payment must be submitted to the Department through Grants Network no later than sixty (60) days prior to the Expenditure Deadline of this Agreement.

3) Return of Unexpended Funds: All funds received in advance by the Subrecipient but not expended by the Expenditure Deadline must be accounted for and returned to the Department within thirty (30) days after the Expenditure Deadline. Funds shall be returned in accordance with the current State CDBG-DR Grants Management Manual. All returned funds will be disencumbered and unavailable to Subrecipient.

4) All Funds Not Previously Requested: If the final funds disbursement request for costs expended during the term of this Agreement has not been received by the Department before the Expenditure Deadline, and the Subrecipient has not requested an extension per Exhibit A Section 4, (Term of Agreement and Performance Milestones), the Department may disencumber any funds remaining and such grant funds will no longer be available for the Subrecipient.

5) Recapture of Improper Payments: If any review of funds disbursement determines that payment was made for ineligible expenses, pursuant to this Agreement, the amount of CDBG-DR funds provided to reimburse the expenses must be recaptured by the Department. The reasons for a recapture of funds by the Department include, but are not limited to, the following:

- The Subrecipient does not comply with the terms of this Agreement or any agreement executed by the Subrecipient and the Department in connection here with;
- The Subrecipient withdraws from the Program prior to completion of the Approved Project(s); and/or
- The Subrecipient fails to meet a National Objective as defined under 24 CFR § 570.208

The Subrecipient must return the amount determined ineligible by the Department no less than thirty (30) days from the written notification. The potential recapture of funds pursuant to this provision is in addition to, and

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not in lieu of, any other rights and remedies of the Department under this Agreement (see also Exhibit D, Section 4).

5. Budget Revisions and Amendments

Budget line item adjustments may be made in accordance with the following:

A. Budget Revisions: Adjustments to the Budget that do not require an increase or reduction of total activity budget, a change in National Objective, or a change in the type or a reduction in number of beneficiaries assisted may be completed as a Budget Revision. Budget Revisions shall include but not be limited to:

1) Adjustments that reallocate funds between budget line items, including between Administration funding, activity funding, and Program Income resources, including both Program Income cash on hand, and Program Income projected receipts, but that otherwise does not change the overall budget total, the scope of work, the National Objective, and type and count of estimated beneficiaries. Reallocations involving Administration funding are subject to applicable Administration caps identified in the Notice of Funding Availability.

2) Adjustments that increase or decrease the detail included in the submitted lined item budgets, including adding and removing budget line items, without increasing or decreasing the scope of work and without changing the overall budget.

Budget Revisions must be approved by the Department in its sole discretion prior to implementation. Submission and approval for budget revision shall be executed either through HCD's Grants Network system, or in writing, as appropriate. If approved, Budget Revisions shall automatically be deemed a part of, and incorporated into, this Agreement.

B. Budget Amendments: Adjustments to the Budget that result in an increased or a reduced total activity budget shall require a Contract Amendment. Contract Amendments must be fully executed by both the Subrecipient and the Department prior to implementation. Adjustments may not be implemented prior to execution unless the Department has provided written notice authorizing the Subrecipient to proceed.

6. Grant Closing Requirements

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A. Expenditure Deadline:

1) All Program funds shall be expended no later than the Expenditure Deadline as defined in Exhibit A, Section 4. All requests for funds must be submitted no later than 30 days prior to the Expenditure Deadline.

2) The Final Financial Report for the activity must be marked final and submitted before the Expenditure Deadline. Financial Reports submitted after the Expenditure Deadline will not be eligible for reimbursement.

Closeout Procedure: The Subrecipient must submit the following at the completion of the activity:

1) A Final Activity Report that includes all required reporting data for the activity;

2) A filed Notice of Completion (if applicable);

3) Evidence, satisfactory to the Department, of compliance with any and all other Special Conditions of this Agreement as set forth in Exhibit E hereto; and,

4) A resolution from the governing body acknowledging the accomplishments of the activity and confirming that the activity is complete and that all outstanding funds have been reimbursed by the Department.

If the Subrecipient identified an extended reporting period will be required to meet the National Objective for the activity in the Application, the above closeout requirements shall be submitted upon the completion of the activity, or within twenty-four (24) months after the Expiration Deadline, whichever comes first. If no extended reporting period is required, the above closeout requirements shall be submitted within thirty (30) days after the Agreement's Expenditure Deadline. Upon receipt of the above documentation, the Department will close out this Agreement and finalize the activity in DRGR for final reporting to HUD.

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CDBG-DR PROGRAM TERMS AND CONDITIONS

1. Definitions

A. "Activity" means one of the following HUD eligible activities as per 42 U.S.C. 5305, 24 CFR 570.482, or as identified within the applicable waivers and alternative requirements provided in the applicable Federal Register Notice.

1) Acquisition (§ 5305 (a)(1))

2) Public Improvements (§ 5305 (a)(2))

3) Public Facilities (§ 5305 (a)(2) and (5))

4) Code Enforcement (§ 5305 (a)(3))

5) Housing Rehabilitation (§ 5305 (a)(4))

6) Public Services (§ 5305 (a)(8))

7) Planning and Technical Assistance (Section 105(a)(12), (14) and (19)

8) Business Financial Assistance (§ 5305 (a)(17))

9) Microenterprise Assistance (§ 5305 (a)(22))

10) Homeownership (§ 5305 (a)(24))

B. “Activity Budget” means the budget included in Exhibit E, Section VI, Project Budget, as referenced by Exhibit B, Budget Detail, and Payment Provisions.

C. "Activity Delivery" (AD) means any reasonable and necessary costs that are not directly related to labor and/or direct construction and/or direct activity implementation costs. The Subrecipient may expend up to the indicated AD as identified the NOFA that is associated with this Agreement or any relevant CDBG

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or CDBG-DR Management Memo. CDBG-DR funds for AD cannot be drawn down unless CDBG-DR activity costs have previously been drawn down or are being drawn down on the same funds request.

D. “Activity Reports” are the activity reports that must be submitted at least quarterly that describe program or project progress and/or beneficiaries served during a given reporting period.

E. “Area Median Income (AMI)” means the median family income for specific geographic areas, adjusted for household size, as calculated by HUD, and published annually by the Department at https://www.hcd.ca.gov/grants-funding/income-limits/state-andfederal-income-limits.shtml.

F. “California Environmental Quality Act (CEQA)” is a state statute that requires state and local agencies to identify the significant environmental impacts of their actions and to avoid or mitigate those impacts, if feasible.

G. “Contractor” is a properly licensed person or company who is procured competitively that Subrecipients hire to undertake a contract to provide materials or labor to perform a service or do a job for a project.

H. “Department” means the California Department of Housing and Community Development.

I. “Disaster Recovery Grant Reporting System (DRGR)” is the electronic system primarily used by the Department to access Grant Funds from HUD and report performance accomplishments for grant-funded activities to HUD. The DRGR system is used by HUD to review grant-funded activities, prepare reports to Congress and other interested parties, and monitor program compliance.

J. “Duplication of Benefits (DOB)” occurs when financial assistance received from another source is provided for the same purpose as the CDBG-DR funds, in accordance with Federal Register Notices 84 FR 28836 and 84 FR 28848.

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K. "Funds Request" is also identified as a Financial Report and refers to the forms and processes required to request the drawdown of CDBG-DR funds (requests for funds must be a minimum of $1,000.00 unless it is the final Financial Report for an activity). Funds disbursements must be completed no less than quarterly for each open activity, including Program Income funded activities.

L. "General Administration" refers to eligible administrative expenses as provided in 42 U.S.C. 5305(a)(13).

M. "Low- to Moderate- Income (LMI)" refers to individuals or households having incomes not more than the "moderate-income" level (80% Area Median Family Income) set by the federal government for the HUD-assisted programs. This income standard changes from year to year and varies by Household size, county and the metropolitan statistical area.

N. "National Environmental Protection Act (NEPA)" is the federal law and associated regulations which establishes a broad national framework for protecting the environment. NEPA's basic policy is to assure that all branches of government consider the environment prior to undertaking any major federal action that could significantly affect the environment.

O. "Pre-Agreement Costs" are pre-award costs as defined at 2 CFR 200.458 and 24 CFR 570.489(p) and are costs that are eligible per 2 CFR 200.400 et.seq. that have been itemized on the approved activity budget as identified in Exhibit E, Section VI, Project Budget, as referenced by Exhibit B, Budget Detail and Payment Provisions.

P. "Program" means an eligible activity that provides direct assistance to eligible participants within a defined service area. Programs include public services, housing assistance to households, and instances where an eligible person, household, or area is directly assisted with a unit of service.

Q. "Program Guidelines" means the CDBG-DR Program Guidelines as adopted or amended that detail the operation of the State CDBG-DR program, as per Health and Safety Code 50826.1(a) that states that the regulations are repealed upon

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adoption of guidelines.

R. “Program Income”, as defined in 24 CFR 570.489(e), means gross income received by the Subrecipient that is directly generated from the use of CDBG-DR funds. When such income is generated by an activity that is only partially assisted with CDBG-DR funds, the income shall be prorated to reflect the percentage of CDBG-DR funds used.

S. "Project" means eligible public service program, planning effort, housing rehabilitation, or capital improvements to public facilities, infrastructure, assets, and right-of-way. Projects may also include eligible capital improvements to privately owned facilities, infrastructure, and assets that serve the public or that provide a public good, including shelters, community-based facilities, and utilities. A project may be made up of more than one eligible activity.

T. “Subrecipient” means the jurisdiction that applied for CDBG-DR funding and has legal authority to sign this Agreement and commit to compliance with all federal requirements regarding the administration of federal funds, as identified in 2 CFR 200.

2. <u>Eligible Activities</u>

Subrecipient will only use funds under this Agreement for the activities identified in Exhibit E. All activities must be eligible CDBG activities as authorized under 42 U.S.C. 5305 and 24 CFR 570.482.

3. <u>National Objectives</u>

Subrecipient will only use funds in support of the National Objective identified in Exhibit E, Section IV. All CDBG-DR funded grant activities must meet a National Objective as defined in 42 U.S.C. 5304(b)(3), as amended, and 24 CFR Part 570.208.

Real property acquired in whole or in part with CDBG-DR funds must be used to meet the same National Objective for which it was purchased for no less than five years after project closeout. The Department may require a Use Restriction Agreement be

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recorded against real property acquired or improved in whole or in part with CDBG-DR funds.

4. Termination and Remedies for Noncompliance

Awards as secured by this Agreement may be terminated by the Department in whole or in part as per federal regulation at 2 CFR 200.339. All terminations shall include written notification setting forth the reason(s) for such termination, the effective date, and the portion to be terminated in the case of partial terminations and will follow termination notification requirements identified in 2 CFR 200.340.

A. Termination without Cause: Agreements may be terminated without cause in whole or in part by the Department **only** with the consent of the Subrecipient. In the case of a whole agreement termination, the two parties shall agree upon termination conditions, including the effective date. In the case of partial termination, the two parties shall agree upon termination conditions, including the portion to be terminated and the effective date.

B. Noncompliance and Termination with Cause: The Department may terminate this Agreement for Subrecipient’s failure to comply with the terms and conditions of this Agreement. Terminations for material failure to comply with the Agreement terms and conditions must be reported by the Department to the appropriate federal program integrity and performance system accessible through the System for Award Management (SAM) as per 2 CFR 200.339(b).

1) The Department may initiate remedies for noncompliance as identified in 2 CFR 200.338 at any time it has been determined that the Subrecipient is no longer meeting the terms and conditions of this Agreement. Remedies for noncompliance may be required in addition to, in lieu of, or prior to termination.

2) Prior to terminating this Agreement for cause or noncompliance, the Department shall submit written notice specifying noncompliance and/or specifying the event or events that if not cured would constitute an event

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of default. The Department's written notice shall identify remedies for cure. Subrecipient shall have thirty (30) calendar days from receipt of notice to fully cure. This period may be extended at the Department's discretion for a reasonable period of time if the Subrecipient is acting in good faith to cure the noncompliance or cause. Any extension of the cure period must be communicated in writing by the Department.

3) The Department's remedies for Subrecipient's noncompliance with a federal statute or regulation, a state statute or regulation, an assurance, in a State plan or application, a notice of award, or elsewhere may include, as appropriate:

- Temporarily withhold cash payments pending correction of the deficiency by the Subrecipient.

- Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance.

- Wholly or partly suspend or terminate the current award for the Subrecipient's program or project, as applicable.

- Withhold further and/or future awards of CDBG-DR funds.

- Request that HUD initiate federal suspension debarment proceedings.

- Take other remedies that may be legally available, including, but not limited to:

  (a) In the case of costs incurred without meeting a National Objective, require repayment of all funds reimbursed, including General Administration, Activity Delivery, and any and all Program Income, as appropriate.

4) In taking an action to remedy noncompliance, the Department will provide

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the Subrecipient an opportunity for such hearing, appeal, or other administrative proceeding to which the Subrecipient is entitled under any statute or regulation applicable to the action involved as per 2 CFR 200.341 and/or the Department's Monitoring Plan and associated exhibits.

C. Effects of Suspension and Termination: Subrecipient costs resulting from obligations incurred by the Subrecipient or any of the Subrecipient's contractors during a suspension or after termination of an Agreement are not allowable unless otherwise authorized by the Department in written notice or as allowable in 2 CFR 200.342. Termination and remedies for noncompliance identified in this Section do not preclude a Subrecipient or any of the Subrecipient's contractors from being subject to non-procurement debarment and suspension requirements at 2 CFR 2424. CDBG-DR funds may not be provided to excluded or disqualified persons pursuant to 24 CFR 570.489(l).

D. Remedies: All remedies of the Department hereunder are cumulative and not exclusive.

5. <u>Severability</u>

A. If any provision of this Agreement, or an underlying obligation, is held invalid by a court of competent jurisdiction, such invalidity, at the sole discretion of the Department, shall not affect any other provisions of this Agreement and the remainder of this Agreement shall remain in full force and effect. Therefore, the provisions of this Agreement are, and shall be, deemed severable.

B. The Subrecipient shall notify the Department immediately of any claim or action undertaken by or against it which affects or may affect this Agreement or the Department, and shall take such action with respect to the claim or action as is consistent with the terms of this Agreement and the interests of the Department.

6. <u>Waivers</u>

No waiver or any breach of this Agreement shall be held to be a waiver of any prior or subsequent breach. All waivers must be in writing signed by the waiving party in order

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to be effective. The failure of the Department to enforce, at any time, the provisions of this Agreement or to require, at any time, performance by the Subrecipient of these provisions shall in no way be construed to be a waiver of such provisions nor to affect the validity of this Agreement or the right of the Department to enforce these provisions.

7. Uniform Administrative Requirements

The Subrecipient, its agencies or instrumentalities, and contractors shall comply with the policies, guidelines and Administrative Requirements of 2 CFR Part 200 et seq., as applicable, as they relate to the cost principles, audit requirements, acceptance and use of federal funds.

A. Single Audit Compliance: Funds will not be disbursed to any Subrecipient identified by the State Controller's Office (SCO) as non-compliant with the Federal Single Audit Act, as described in the Uniform Administrative Requirements, Cost Principles, And Audit Requirements for Federal Awards at 2 CFR 200 Sub-Part F. No funds may be disbursed until compliance with the Uniform Administrative Requirements is demonstrated to the satisfaction of the Department.

B. Accounting Standards: Subrecipient agrees to comply with, and administer the activity in conformance with, 2 CFR Part 200.300 et seq, and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.

C. Suspension and Debarment: By executing this Agreement, Subrecipient verifies and affirms that it has not been suspended or debarred from participating in or receiving federal government contracts, subcontracts, loans, grants or other assistance programs.

8. Compliance with State and Federal Laws and Regulations

EXHIBIT D

A. Subrecipient, its agencies or instrumentalities, and contractors shall comply with all local, state, and federal laws, statutes, and regulations, as well as policies and guidelines established by the Department for the administration of the CDBG-DR program.

B. Subrecipient shall comply with the requirements of 24 CFR 570.480 et seq., the Housing and Urban Development (HUD) regulations concerning State administered Community Development Block Grants, 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Guidance, as adopted by HUD at 2 CFR 2400, Title II of the Cranston-Gonzales National Affordable Housing Act (42 U.S.C. § 12701 et seq.) and all federal regulations and policies issued pursuant to these regulations. The Subrecipient further agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available.

9. Affirmatively Furthering Fair Housing

Subrecipient shall affirmatively further fair housing, in accordance with the Civil Rights Act of 1964 (42 U.S.C 2000a, et seq.), and the Fair Housing Act (42 U.S.C. 3601, et seq.), according to 42 U.S.C. 5306, et seq. and in compliance with California statute (Gov. Code sections 65583, et seq.), as the same may be amended from time to time. Subrecipient shall comply with the Fair Housing Amendment Act of 1988 (Public Law 100-430), as the same may be amended from time to time.

10. Equal Opportunity Requirements and Responsibilities

Subrecipient agrees that it undertakes hereby the same obligations to the Department that the Department has undertaken to HUD pursuant to the Department's CDBG-DR certifications. The obligations undertaken by Subrecipient include, but are not limited to, the obligation to comply with all applicable federal laws and regulations described in Subpart K of 24 CFR Part 570 and specifically with each of the following:

A. The Housing and Community Development Act of 1974 (Public Law 93-383) that authorized the CDBG program, as amended, and legislative changes contained in the Housing and Urban-Rural Recovery Act of 1983 that authorized the state

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administered CDBG program for non-entitlement communities, and the Architectural Barriers Act of 1968 (42 U.S.C. Section 4151) that requires publicly funded facilities be accessible to the public;

B. Title VI of the Civil Rights Act of 1964 (Public Law 88-352) prohibiting discrimination based on protected class, as amended, Title VIII of the Civil Rights Act of 1968 (Public Law 90-284) prohibiting discrimination in housing, as amended; the Civil Rights Restoration Act of 1987 (Public Law 100-259) requiring expanded compliance with civil rights laws for jurisdictions receiving federal funding; Section 104(d) regarding relocation and displacement and Section 109 of Title 1 of the Housing and Community Development Act of 1974 prohibiting discrimination in CDBG-DR funded programs, as amended; Section 504 of the Rehabilitation Act of 1973 prohibiting recipients of federal funds from discrimination against persons with disability; the Americans With Disabilities Act of 1990 prohibiting all public discrimination against persons with disabilities; the Age Discrimination Act of 1975 prohibiting age-based discrimination in federally funded activities; Executive Order 11063 prohibiting discrimination in disposition of properties owned or financed with federal funds, as amended by Executive Order 12259; and Executive Order 11246 regarding fair employment, as amended by Executive Orders 11375, 11478 and 12086; and HUD regulations heretofore issued or to be issued to implement these authorities relating to civil rights;

C. The Equal Employment Opportunity Act of 1972 that created the Equal Employment Opportunity Commission, Equal Employment Opportunity and Affirmative Action requirement (EEO/AA); Subrecipient shall, in all solicitations or advertisements for employees placed by or on behalf of the Subrecipient, state that it is an Equal Opportunity or Affirmative Action employer.

11. <u>Procurement</u>

The Subrecipient shall comply with the procurement provisions in 2 CFR Part 200.317 – 200.326, Procurement Standards, as well as all other Administrative Requirements for Grants and Cooperative Agreements to state, local and federally recognized Indian tribal governments as set forth in 2 CFR 200, et al, as applicable. All procurements must

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be conducted in a fair, open, and competitive manner in compliance with both the spirit and the letter of applicable federal and state procurement laws.

12. Rights to Inventions Made Under a Contract or Agreement

Subrecipient shall comply with and require the following in contracts and subrecipient agreements: If a Federal award meets the definition of "funding agreement" under 37 CFR 401.2(a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of recipient or subrecipient must comply with requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulation issued by the awarding agency.

13. Prohibition Against Payments of Bonus or Commission

The assistance provided under this Agreement shall not be used in the payment of any bonus or commission for the purpose of:

A. Obtaining the Department's approval of the Application for such assistance or additional assistance; or,

B. Securing any other approval or concurrence of the Department required under this Agreement, Title I of the Housing and Community Development Act of 1974, or the State regulations or Program Guidelines with respect thereto; provided, however, that reasonable fees for bona fide technical, consultant, managerial or other such services, other than actual solicitation, are not hereby prohibited if otherwise eligible as program costs.

14. Reporting Requirements

A. Requirements: During the term of this Agreement, the Subrecipient must submit all CDBG-DR program reports required by the Department, including quarterly activity, financial, and Program Income reports, semi-annual labor and

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compliance reports, annual performance reports, and other reports required by the Department or HUD. The Department reserves the right to request additional detail and support for any report made. Reports must be made according to the dates identified, unless otherwise specified at the discretion of the Department. The Subrecipient's performance under this Agreement will be evaluated in part on whether it has submitted the reports on a timely basis.

B. Reporting Period: Subrecipient shall submit reports quarterly, and as required for semi-annual and annual reports, and shall continue to submit reports until such time that the activity is complete, a National Objective has been met and beneficiaries have been identified. The reporting period for this activity may extend beyond the Expenditure Deadline as defined in Exhibit A.

C. Final Reporting Deadline: Subrecipient shall complete all required reporting for this activity no later than five (5) years from the execution date of this Agreement as identified on the STD 213.

D. Asset Reporting: Subrecipient shall report annually on the status of all assets (real and personal property, equipment, and vehicles) purchased in whole or in part with CDBG-DR funds for no less than five years from the completion of the activity that generated the asset. Reporting shall continue until the property is disposed, fully depreciated, or, in the event of real property, the five-year commitment to a National Objective has been completed.

15. <u>Fiscal Controls</u>

Subrecipient shall be responsible for the internal control and monitoring of fiscal and programmatic/operational goals and procedures. The Subrecipient shall establish and maintain such fiscal controls and fund accounting procedures as required by federal regulations, or as may be deemed necessary by the Department to ensure the proper disbursal of, and accounting for, funds paid to the Subrecipient under this Agreement.

A. Deposit of Funds: Subrecipient shall maintain separate accounts within established bookkeeping systems for the deposit of CDBG-DR funds. All cash advances must be deposited in an interest-bearing account; any interest earned

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in excess of $100.00 per year (which may be retained for related administrative expenses) must be returned at least quarterly to HUD via the Department. Deposits in minority banks are encouraged.

B. Fund Management: Subrecipient shall deposit funds in an account requiring two signatures for disbursement and shall submit to the Department specimen signatures for all authorized signatories prior to receipt of funds;

C. Fiscal Liability: Subrecipient shall be liable for all amounts which are determined to be due by the Department including, but not limited to, disallowed costs which are the result of Subrecipient's or its contractor's conduct under this Agreement. Subrecipient shall be notified in writing and shall be permitted to respond regarding any controversy or proceeding between the Department and HUD arising from this Agreement.

D. Fiscal Records: All financial transactions must be supported by complete and verifiable source documents. Records shall provide a clear audit trail and shall be maintained as specified in Section 25 of this Agreement.

E. Program Income: Any and all Program Income received by Subrecipient during the administration of this Agreement must be receipted and deposited into a separate Program Income account. Program Income funds may not be comingled with CDBG-DR grant funds in a single account. Program Income funds must be reported monthly to show source, amounts, expenditures, and remaining balance. Program income remaining at the end of each quarter is remitted to the state.

16. Reversion of Assets

Upon expiration of this Agreement, Subrecipient shall transfer to the Department any CDBG-DR funds, excluding Program Income, in Subrecipient's control at the time of expiration. Further, any real property under Subrecipient's control that was acquired and/or improved in whole or in part with CDBG-DR funds (including CDBG-DR funds provided to the Subrecipient in the form of a loan and Program Income) in excess of $25,000.00 shall be either:

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A. Used to meet one of the National Objectives in 24 CFR Part 570 until five (5) years after expiration or closure of this Agreement, the length of time to be further prescribed by mutual agreement of the parties.

B. Disposed of in such manner that Subrecipient is reimbursed in the amount of the fair market value of the property at the time of disposition of the property less any portion of the value attributable to expenditures of non-CDBG funds for acquisition and/or improvement of such property. The proceeds from such disposition is Program Income.

If the Subrecipient provides funds for the purchase or improvement of real property to a subrecipient that is a private non-profit organization, that subrecipient must further agree to a voluntary lien on above-referenced real property as to any CDBG funds received and that such lien will be notarized and recorded in the Office of the County Recorder where the real property is located.

17. Monitoring Requirements

The Department shall perform a program and/or fiscal monitoring of the CDBG-DR grant no less than once during the period of this Agreement. The Subrecipient shall be required to resolve any monitoring findings to the Department's satisfaction by the deadlines set by the Department to maintain program eligibility.

Subrecipients and applicable subrecipients shall retain all books, records, accounts, documentation, and all other materials relevant to this Agreement for a minimum period of five (5) years after the Department notifies the Subrecipient that the HCD contract has been closed according to the record retention requirements at 2 CFR 200.333.

Subrecipients and applicable subrecipients shall permit the State, federal government, the state Bureau of State Audits, the Department, and/or their representatives, upon reasonable notice, unrestricted access to any or all books, records, accounts, documentation, and all other materials relevant to this Agreement for the purpose of monitoring, auditing, or otherwise examining said materials.

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18. Inspections of Grant Activity

The Department and HUD reserves the right to inspect any grant activity(ies) performed hereunder to verify that the grant activity(ies) is being and/or has been performed in accordance with the applicable federal, state and/or local requirements and this Agreement.

A. The Subrecipient shall inspect any grant activity performed by contractors and subrecipients hereunder to ensure that the grant activity(ies) is being and has been performed in accordance with the applicable federal, state and/or local requirements and this Agreement.

B. The Subrecipient agrees to require that all grant activity(ies) found by such inspections not to conform to the applicable requirements be corrected, and to withhold payment to its contractor or subcontractor, respectively, until it is so corrected.

19. Signs

If the Subrecipient places signs stating that the activity is funded with private or public dollars and the Department is also providing financing, it shall indicate in a typeface and size commensurate with the Department's funding portion of the project that the Department is a source of financing through the CDBG-DR Program.

20. Insurance

Subrecipient shall comply with all requirements outlined in the (A) General Provisions section and (B) Contract Insurance Requirements outlined in this section. No payments will be made under this Agreement until the Subrecipient fully complies with all requirements.

A. General Provisions Applying to All Policies

1) Coverage Term – Coverage needs to be in force for the complete term of the Agreement. If insurance expires during the term of the Agreement, a

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new certificate must be received by the State at least thirty (30) days prior to the expiration of this insurance. Any new insurance must comply with the original terms of the Agreement.

2) Policy Cancellation or Termination & Notice of Non-Renewal – Subrecipient is responsible to notify the State within five (5) business days of any cancellation, non-renewal or material change that affects required insurance coverage. New certificates of insurance are subject to the approval of the Department of General Services and the Subrecipient agrees no work or services will be performed prior to obtaining such approval. In the event Subrecipient fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event, subject to the provisions of this Agreement.

3) Premiums, Assessments and Deductibles – Subrecipient is responsible for any premiums, policy assessments, deductibles or self-insured retentions contained within their insurance program.

4) Primary Clause – Any required insurance contained in this Agreement shall be primary, and not excess or contributory, to any other insurance carried by the State.

5) Insurance Carrier Required Rating – All insurance companies must carry an AM Best rating of at least “A–” with a financial category rating of no lower than VII. If the Subrecipient is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.

6) Endorsements – Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.

7) Inadequate Insurance – Inadequate or lack of insurance does not negate the contractor’s obligations under the Agreement.

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8) Available Coverages/Limits – All coverage and limits available to the Subrecipient shall also be available and applicable to the State.

9) Satisfying an SIR - All insurance required by this Agreement must allow the State to pay and/or act as the contractor's agent in satisfying any self-insured retention (SIR). The choice to pay and/or act as the contractor's agent in satisfying any SIR is at the State's discretion.

10) Use of Contractors and Subcontractors - In the case of Subrecipient's utilization of contractors and subcontractors to complete the contracted scope of work, the Subrecipient shall include any prime contractor as insured's under Subrecipient's insurance or supply evidence of the contractor's insurance to The State equal to policies, coverages, and limits required of the Subrecipient.

B. Contract Insurance Requirements

Subrecipient shall provide evidence of the following on a certificate of insurance evidencing the following coverages:

1) **Commercial General Liability** – Subrecipient shall maintain general liability on an occurrence form with limits not less than $1,000,000 per occurrence for bodily injury and property damage liability combined with a $2,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal & advertising injury, and liability assumed under an insured contract. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Subrecipient's limit of liability.

The policy must name The State of California, its officers, agents, and employees as additional insured, but only with respect to work performed under the Agreement.

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2) **Automobile Liability** – Subrecipient shall maintain business automobile liability insurance for limits not less than $1,000,000 combined single limit. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles. Should the scope of the Agreement involve transportation of hazardous materials, evidence of an MCS-90 endorsement is required.

   The policy must name The State of California, its officers, agents, and employees as additional insured, but only with respect to work performed under the Agreement.

3) **Workers Compensation and Employers Liability** – Subrecipient shall maintain statutory worker's compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Agreement. In addition, employer's liability limits of $1,000,000 are required. By signing this Agreement, Subrecipient acknowledges compliance with these regulations. A Waiver of Subrogation or Right to Recover endorsement in favor of the State of California must be attached to certificate.

21. Force Majeure

A Force Majeure is an unforeseeable event outside of a Subrecipient's reasonable control which prevents or delays performance of that Subrecipient's obligations under this Agreement. Such event does not include the normal risks a Subrecipient assumes when it enters a contract. A Force Majeure event is a natural disaster such as an earthquake, flood, hurricane, pandemic, an Act of God, act of war, act of public enemies of this state or of the United States, or other similar event.

Force Majeure also includes actions or measures taken by any governmental authority, including executive orders, public health orders, other governmental orders, laws, regulations, or other government actions taken in response to a "Force Majeure" event, such as a quarantine or other restriction which prevents or delays the performance of a Subrecipient's obligations under this Agreement.

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If a Subrecipient chooses to assert “Force Majeure”, it must give notice to the Department under this Agreement within ten (10) days of the occurrence of the Force Majeure event. Notice is to be given in accordance with the notice provisions of this Agreement, and must include a description of the Force Majeure event, how said event has prevented or delayed the Subrecipient’s ability to perform its obligations under this Agreement, a description of reasonable measures the Subrecipient proposes to take to resume performance of its obligations under this Agreement, and a date by which the Subrecipient anticipates it will resume performance of its obligations. Any changes or extensions to the term of the agreement due to a “Force Majeure” notice will require the Department’s approval as described in Exhibit A, Section 3.

22. Anti-Lobbying Certification

Subrecipient shall comply with and require that the language of this certification be included in all contracts or subcontracts entered into in connection with this grant activity(ies) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000.00 and no more than $100,000.00 for such failure.

A. No federally appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form

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LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

23. Conflict of Interest

Pursuant to 24 CFR 570.489(h) and 2 CFR Part 200.112, no member, officer, or employee of the Subrecipient, or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise or have exercised any functions or responsibilities with respect to CDBG activities assisted under this part, or who are in a position to participate in a decision making process or gain inside information with regard to such activities, including members and delegates to the Congress of the Unites States may obtain a financial interest or benefit from a CDBG assisted activity, or have a financial interest in any contract, subcontract or agreement with respect to a CDBG assisted activity or its proceeds, either for themselves or those with whom they have business or immediate family ties, during their tenure, or for one (1) year thereafter. The Subrecipient shall incorporate, or cause to be incorporated, in all such contracts or subcontracts a provision prohibiting such interest pursuant to the purposes of this section.

24. Obligations of Subrecipient with Respect to Certain Third-Party Relationships

Subrecipient shall remain fully obligated under the provisions of this Agreement notwithstanding its designation of any third party or parties for the undertaking of all or any part of the Program with respect to which assistance is being provided under this Agreement to the Subrecipient. The Subrecipient shall comply with all lawful requirements of the Department necessary to ensure that the Program, with respect to which assistance is being provided under this Agreement to the Subrecipient, is carried out in accordance with the Department's Assurance and Certifications, including those with respect to the assumption of environmental responsibilities of the Department under Section 104(g) of the Housing and Community Development Act of 1974 [42 U.S.C. 5304(g)].

25. Energy Policy and Conservation Act

This Agreement is subject to mandatory standards and policies relating to energy

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efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

26. <u>State Contract Manual Requirements (Section 3.11, Federally Funded Contracts (Rev. 3/03)</u>:

A. All contracts, except for State construction projects that are funded in whole or in part by the Federal government, must contain a thirty (30)-day cancellation clause and the following provisions:

1) It is mutually understood between the parties that this contract may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds to avoid program and fiscal delays that would occur if the contract were executed after that determination was made.

2) This Agreement is valid and enforceable only if sufficient funds are made available to the State by the United States Government for the purpose of this Program. In addition, this contract is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this contract in any manner.

3) The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, this contract shall be amended to reflect any reduction in funds.

4) The Department has the option to invalidate the contract under the thirty (30) day cancellation clause or to amend the contract to reflect any reduction in funds.

B. Exemptions from provisions A.1 through A.4 above may be granted by the Department of Finance provided that the director of the State agency can certify in writing that Federal funds are available for the term of the contract.

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C. California Government Code § 8546.4(e) provides that State agencies receiving federal funds shall be primarily responsible for arranging for federally required financial and compliance audits, and shall immediately notify the Director of Finance, the State Auditor, and the State Controller when they are required to obtain federally required financial and compliance audits.

Applications: Len Marabella - Catholic Charities of the Diocese of Santa Rosa

EXHIBIT E

Award Number
22-OORHC-00002

PO Number

Record Title
Len Marabella - Catholic Charities of the Diocese of Santa Rosa

Organization Name
Catholic Charities of the Diocese of Santa Rosa

Profile
pswan@srcharities.org

Section 1: Threshold Eligibility Requirements

This section asks about basic threshold eligibility requirements that must be met before submitting an application. Please read all questions carefully.

Is your organization certified by HUD to offer housing counseling services with a certificate date prior to the NOFA issue date?
Yes

If yes, please upload HUD certification showing date organization was certified
HUD Housing Counseling Certification.pdf

Is your organization a Tax-exempt organization under Internal Revenue Code (IRC) section 501 (a) as described in IRC section 501(c) (26 U.S.C. 501 (a) and (c))?
Yes

If yes, please upload evidence of the Tax Exempt Status
1. Catholic Charities of Santa Rosa 501c3 Documentation.pdf

Is your organization in good standing under the laws and regulations of the organization's home state?
Yes

Is your organization authorized to do business in the State of California?
Yes

Is your organization in good standing with the California Department of Housing and Community Development?
Yes

Has your organization, any intended sub-Applicants, contractors, subcontractors, program partners, staff, or Team Members ever been (or currently) debarred, suspended, proposed for debarment, or are declared ineligible or voluntarily excluded from participation from federally assisted programs?
No

If no, please upload a SAM.gov screenshot showing the date of generation that demonstrates your organization is in good standing with the Federal Government, has a registered and active DUNS number, and is not debarred or prohibited from receiving federal funds.
SAMS Documentation.pdf

To reduce delays in the application review, award, and contracting processes applicants are required to use the HCD Board Resolution Document in Exhibit D of the NOFA announcement. A copy can also be downloaded from the solicitation listing:
https://gn.ecivis.com/GO/srmng_downloadSolicitationFileExt/SOLICITATIONFILEID/_nE9W4_PKxs~

Upload fully executed Board Resolution
Board Resolution and Authorizations submit.pdf

Are there single audits of your organization on file?
Yes

If yes, upload your organization's most recent single audit (single file, PDF or Word format)
CCSR Audited Financials 19.20.pdf

In your organization's most recent single audit, were there any findings by the auditing entity?
No

Please complete and upload the form STD 204 found in the solicitation listing: https://gn.ecivis.com/GO/srmng_downloadSolicitationFileExt/SOLICITATIONFILEID/o62ovzbuf14~
1.2 STD 204 - Payee Data Record.pdf

You have provided information to the Department about your organization's experience, processes, policies, and procedures related to the management of federal funding. If this application is selected, these submissions, in addition to discussions you have with the Department, have been used to inform this Agreement and are being materially relied upon by the Department in agreeing to enter into this Agreement.
LM

Should there be substantive changes to your organization, key personnel, methods, capacity, policies, or processes that impact the implementation of this Agreement, your organization shall promptly notify the Department of said changes
LM

During the term of this Agreement, your organization agrees to timely provide documents and information to facilitate the Department’s Subrecipient monitoring risk assessment process. Your organization further agrees to comply with the requirements, requests, and results of the Department’s risk assessment, including participation in Subrecipient monitoring events
LM

Section 2: Mandatory Requirements

2.1 Applicant must submit to HCD organizational documents, and all amendments thereto, as well as related documents, all of which will vary depending on the Applicant’s organization-type, and may include (but are not limited to) Articles of Incorporation, Certificates of Limited Partnership, Articles of Organization, Bylaws, Operating Agreements, Partnership Agreements, Joint Venture Agreements, Certificates of Good Standing

Please upload all organizational documents as one PDF or Word file
Organizational Documents.pdf

2.2 Financial Controls

Please upload your organization's proposed policies and procedures to show how the organization maintains sufficient internal financial controls

Please upload all policies and procedures as one PDF or Word file
Fin Control Policies Procedures.pdf

If financial management policies and procedures are included in another document reference the document name, if they are not available provide status of development.
NA

2.3 Conflict of Interest Policies and Certification

Applicant must certify that no officer, agent or employee of the Government of the State of California, HCD, or its Government Entities and instrumentalities, has a monetary interest in the Application or has participated in contract negotiations on behalf of the Government of the State of California or HCD; that the Application is made in good faith without fraud, collusion, or connection of any kind with any other Applicants; that the Applicant is competing solely in its own behalf without connection with, or obligation to, any undisclosed person or firm; and that the Applicant has not been convicted or has plead guilty in a state or federal court or any other jurisdiction of the United States of America.

Upload Conflict of Interest Policies and Procedures and/or Conflict of Interest certification
Conflict of Interest Policies Procedures.pdf

If conflict of interest policies and procedures and/or certification are included in another document reference the document name, if they are not available provide status of development.
NA

Section 3: Qualification Requirements

3.1 Capacity to Provide Services

Provide a brief history (Profile) of your organization's history of performing the housing counseling activities you indicated in the eligibility section.
Catholic Charities has provided Housing Counseling services for over 10 years. CCDSR is the only certified HUD Housing Counseling Agency serving Napa and Lake Counties and is one of only two serving Sonoma County. Our agency is committed to serving the underserved and most vulnerable, thus we serve all, but focus upon target groups including those with low-incomes, at risk or experiencing homelessness, veterans, that live with physical or mental challenges, are immigrants, English Language learners, disaster survivors, and underrepresented cultural groups.

Agency HUD Housing Counselors provide independent, customized information and support responding to client needs addressing housing barriers and advancing housing goals. Counseling includes intake, client budgeting, financial and Housing Affordability Analysis, Client Action Plans, and Follow up.

Housing Counseling can take the form of one-on-one, workshops, in person or via phone or computer, depending on the needs of the client and aligned with local public health orders when pandemic and other disasters are present.
1. Fair Housing Pre-Purchase Education
2. Financial Management/Budget Counseling
3. Financial, Budgeting, and Credit
4. Home Improvement & Rehabilitation Counseling
5. Mortgage Delinquency and Default Resolution Counseling
6. Non-Delinquency Post Purchase
7. Predatory Lending Education
8. Pre-Purchase Homebuyer Education
9. Pre-Purchase Counseling
10. Rental Housing Counseling
11. Rental Housing
12. Resolving/Preventing Mortgage Delinquency
13. Reverse Mortgage Counseling
14. Services for Homeless Counseling
15. Disaster Preparation and Post Disaster navigation and resource access and support.

Aligned with HUD's commitment to "Affirmatively Furthering Fair Housing", recognizing the importance of equitable treatment and access to housing education and resources for long term housing stability, CCSR's Housing Counseling services strive to protect the integrity of our clients and their access to resources regardless of any protected characteristics. We work to support clients in combatting discrimination and overcoming barriers to affordable housing is to educate clients and landlords on fair housing rights and to establish relationships with local landlords to combat discrimination and support successful housing connections. When needed, we provide Legal Aid referrals for clients experiencing discrimination. As noted below, Housing Counseling staff attend two fair housing trainings per year to deepen their understanding of fair housing rights and better serve clients, especially those of protected classes.

Provide your organization's tax-ID
942479393

Provide the year your organization was formed
1954

Does your organization have a valid, active registration in the System for Award Management (SAM)?
Yes

Provide your organization's Data Universal Numbering System (DUNS) identifier.
847356318

Please provide a detailed description of your organization's form of business
Catholic Charities of the Diocese of Santa Rosa (CCDSR) is a 501 (c) 3 organization incorporated in 1954, that serves the six counties: Sonoma, Napa, Mendocino, Lake, Humboldt, and Del Norte. Our mission is to respond to Christ's call to care for the most vulnerable, of all beliefs and cultures, transforming lives and communities through dignity, hope, and love. The agency provides direct service and advocacy to over 25,000 people annually and develops programs in direct response to the changing needs of the community.

Current programs include:
• Financial Stability services including: rental, mortgage, and utility assistance, HUD Certified Housing Counseling, free tax filing, financial education, budgeting, and credit repair
• Immigration Legal services: naturalization, work authorization, permanent residency and citizenship, DACA and other remedies;
• Resource Connections: emergency food distribution, nutrition education, and benefit enrollment;
• Housing services such as transitional and permanent supportive housing;
• Emergency Shelters and Homeless services: Street outreach, emergency overnight shelters, day centers, and medical respite centers;
• Senior services: Daily telephone Reassurance check-ins, and transportation for homebound seniors; and
• Disaster Response and Recovery programs, providing immediate relief, access to public and community based supports and assistance, and long-term disaster case management
for those with unmet needs.

Provide a list of the names, telephone numbers and email addresses of your organization's officers, directors, members, and any partners, if applicable
Director Name Phone Email Mailing Address

Bishop Robert Vasa
Chairman (707) 953-8922 bpvasa@srdiocese.org
P.O. Box 1297
Santa Rosa, CA 95402

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President (707) 836-1143
(650) 274-9941 jimandchrisnanman@gmail.com
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Windsor, CA

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Santa Rosa, CA 95405

Michael A. Sullivan (707) 484-5533 Michael.A.Sullivan@comcast.net
1251 Beattie Lane
Sebastopol, Ca 95472

Provide a point of contact for this application (minimum name, job title, email, phone number)
Pamela Swan
Director of Funding Partnerships
Catholic Charities of the Diocese of Santa Rosa
707-308-4799
pswan@srcharities.org

Upload an Organizational Chart of your organization with lines of responsibility and authority in the administration of the Applicant’s business as a housing counseling organization.
Org Chart for Grant CDBG DR submit.pdf

Provide an availability chart that shows: immediate availability; availability of the staff in a year; percentages of available time; and committed time to other projects.

NOTE: If your organization is not based in California, you must provide the functional full-time equivalents (FTEs) that will be based and staffed in California.

Upload your availability chart as a single document (single file, PDF or Word format)
Availability Chart submit.pdf

Is there any pending, threatened, or recent (within the past five (5) years) litigation, arbitration, sanctions and/or administrative complaints against your organization or your subcontractor, if subcontracting applies?
No

Describe how performance on previous housing counseling projects and contracts for federal programs qualifies your organization to develop and implement this project, especially any disaster related housing counseling projects
CCDSR is a non-profit, HUD-Certified housing counseling organization that provides guidance, advice, and other technical assistance to low-income clients who may or may be survivors of local disasters. CCDSR seeks to support applicants of the HCD ReCoverCA housing program(s) from the 2017 DR-4344 and DR-4353 disaster impacted counties of Lake, Mendocino, Napa, and Sonoma.

HUD Housing counselors provide a broad array of HUD approved housing counseling related services, such as financial counseling, referrals to legal services and additional resources, and other assistance and referrals, particularly to vulnerable clients.

Through our 11+ years in HUD Certified Housing Counseling, CCDSR has successfully executed federal Housing Counseling grant contracts primarily serving Lake, Napa, Sonoma, and Mendocino Counties. In FY20-21 certified HUD Housing Counselors served 246 individuals. Of those households served through CCDSR's HUD-funded Housing Counseling services, 91% earned 80% or less of AMI, 100% worked with a counselor and received financial management and budgeting support to develop a sustainable household budget. Over 92% gained access to resources (rent, utility, security assistance), enabling them to improve their housing status. A notable 48% of participants were provided HUD-funded rental counseling avoiding eviction, which reflects the heightened housing insecurity of those in our service region that has a severe lack of affordable housing, compounded by major fire disaster loss, which in Sonoma County alone accounted for a loss of 5% of all housing in 2017.

CCDSR is currently participating in a CalHFA National Mortgage Settlement Counseling Program grant contract providing housing counseling sessions through HUD-certified staff Disaster case managers trained in housing counseling specifically for disaster survivors, especially those with unmet needs related to rebuilds.

Recognizing the increasing urgent need for Housing Counseling in disaster impacted and prone communities, CCDSR is eager to leverage existing experience, staffing, and deep community relationships with vulnerable populations and partner organizations during this critical time. CCDSR has been refining and working towards expanding Housing Counseling services for over five years, including receiving CCUSA sponsorship to receive technical assistance through Prosperity Now (AKA Corporation for Enterprise Development (CFED)). Catholic Charities initiated and hosted the Bay Area Asset Building Leadership Convening, attended by 40 prominent County, United Way, Northern California Catholic Charities, and other regional asset building advocates and experts. CCDSR has sought and implemented funding opportunities to expand opportunities for underserved and vulnerable populations to develop assets and housing counseling support, but a significant funding gap remains compared to the level of community need for these services within the Diocese.

3.2 Managerial, Organization, and Technical Capabilities

Provide a description which demonstrates your organization has personnel capable of handling the services required herein, include names of all Key Personnel who will administer the proposed CDBG-DR activities

All case management staff within the Financial Stability and Case Management teams are trained in addressing the most common needs related to housing counseling support for low-income individuals. In addition, the Community Recovery team is trained and has deep experience in the resources and particular vulnerabilities associated with serving disaster survivors. Three of the financial stability staff were previously on the Community Recovery team as well, so they have already completed training and have experience with supporting disaster survivors. All staff who support clients directly for this grant will have active HUD certifications.

Managers and Assistant Directors will support all program requirements from training, purchasing items needed, coordinating housing referrals, scheduling time for case conferencing on difficult cases, data analysis, and reporting.

Key personnel administering CDBG-DR activities:

- 3 Case Managers, Financial Stability - Maria Arreguin, Verenice Portales, Rocio Salinas - currently HUD certified; Wendy Gattoni - not yet HUD certified
- 2 Case Managers, Community Recovery - Adrian Adrias, TBD - not yet HUD certified
- 2 Managers - Martha Zuniga (Community Recovery), Felix Carvajal (Financial Stability)
- 2 Assistant Directors - Melissa Reece (Community Recovery), TBD (Financial Stability)

Provide resumes for all Key Personnel. Resumes must include: title, tenure at current position, main responsibilities, experience including begin and end dates, skills, and education, including HUD Certification(s).

At minimum, the personnel should cover the following areas of responsibility:
-Executive Management
-Financial Oversight of Expenditures
-Project Management
-Program Compliance & Reporting
-Housing Counseling Services

Upload resumes for all Key Personnel (single file, PDF or Word format)

Resumes Key Personnel CDBG DR.pdf

Does the applicant represent and certify that Applicant staff, Key Personnel, and Team Members shall have and maintain, throughout the duration of the Agreement, valid and current licenses or authorizations when applicable and required to perform the tasks or works to be performed under the Agreement?

Yes

Describe your organization's experience in maintaining compliance with the financial management requirements of 2 CFR §200, including the single audit requirements of 2 CFR §200.501

Catholic Charities maintains high grant contract and spending visibility and transparency through the agency’s internal document management system (see attached Financial Controls Policies and Procedures). Grant Accountants assigned to the HUD Housing Counseling Program are well versed in 2 CFR Part 200, and successfully stewarded over 10 years of federal Hud Housing Counseling grants, CDBG, ESG, VA, USDA and other federal grants. Finally, we welcome an annual financial audit through an external, independent audit firm. The scope of the audit includes a review of internal controls to confirm our transactions are following the terms and conditions of Federal awards. Our Audit engagements include a requirement to perform a single audit of our grants recording, invoicing and compliance management as part of our continuous quality improvement plan.

3.3 Applicant Experience

Provide a brief description of your organization's experience and major accomplishments in providing programs/ services to populations that have been affected by a major disaster (individuals, households, businesses, organizations) and/or vulnerable populations.
Since its establishment in 1954, CCDSR’s mission has been to serve the most vulnerable, including those impacted by disaster. Catholic Charities has 30+ year record of human services in Sonoma, Napa, and Lake counties serving more than 20,000 households per year in our shelters and transitional or permanent supportive housing programs, immigration legal services, and food and health benefits and enrollment. Catholic Charities targets communities that are underserved and ethnically diverse, including Latinx, Native American, Asian, African American as well as low-income, rural, immigrant, those living with physical and mental challenges, and the housing at-risk and unsheltered.

In response to the 2017 North Bay Wildfire, CCDSR received the first FEMA Disaster Case Management Grant awarded in the nation for fire recovery and was a leader in the process of establishing data sharing systems for Long-Term Recovery Group (LTRG) peers and training over 100 disaster case managers. The agency also assumed leadership roles in each of the Community Organizations Active in Disasters (COADs) in Napa, Sonoma, and Lake counties, chairing committees including the Unmet Needs Committee as well as the LTRGs. In response to the 2017 wildfires, CCDSR provided over 3,000 households with immediate basic needs. Shifting to long term support, the agency has engaged over 2,100 households. More than 1,200 households have completed or are working on a Recovery Plan with a CCDSR or partner Disaster Case Manager and nearly $2 million has been distributed to address disaster survivors’ basic and rental assistance needs.

3.4 Staffing

Please upload an organization chart for all Team Members who will administer CDBG-DR funded activities. At minimum, the organization chart should cover the following areas:

- Executive Management
- Financial Oversight of Expenditures
- Project Management
- Program Compliance & Reporting
- Housing Counseling Services

Upload CDBG-DR activities organization chart (single file, PDF or Word format)
CDBG DR OOR HOUSING COUNSELING STAFF CHART .xlsx

Please describe your staffing plan in detail
Staffing Plan

All case management staff within the Financial Stability and Case Management teams are trained in addressing the most common needs related to housing counseling support for low-income individuals. In addition, the Community Recovery team is trained and has deep experience in the resources and particular vulnerabilities associated with serving disaster survivors. Three of the financial stability staff were previously on the Community Recovery team as well, so they have already completed training and have experience with supporting disaster survivors. All staff who support clients directly for this grant will have active HUD certifications.

Key personnel administering CDBG-DR activities:
• 3 Case Managers, Financial Stability - Maria Arreguin, Verenice Portales, Rocio Salinas - currently HUD certified; Wendy Gattoni - not yet HUD certified
• 2 Case Managers, Community Recovery - Adrian Adrias, TBD - not yet HUD certified
• 2 Managers - Martha Zuniga (Community Recovery), Felix Carvajal (Financial Stability)
• 1 Assistant Director - Melissa Reece (Community Recovery)

Initially, all services will be performed by the three existing HUD certified staff on the financial stability team in consultation with members of the Community Recovery team as needed.
Three Disaster Case Managers are currently studying for the HUD exam, and as soon as they pass the exam, they will take on the majority of cases.
Managers and Assistant Directors will support all program requirements from training to purchasing items needed and scheduling time to case conferencing on difficult cases.

Section 4: Workplan Requirement

4.1 Service Activity Scope

Certify that you have viewed and understand the activity area map attached to the solicitation listing: https://gn.ecivis.com/GO/srmng_downloadSolicitationFileExt/SOLICITATIONFILEID/1XC3GZM3Jwc~
I have reviewed the eligible service area maps attached in the solicitation listing

Which of the services below can your organization provide? (Check all that apply)
Applying for public and private resources, Explaining ReCoverCA Program(s), Reviewing the process involved in obtaining financing (including the selection of a lender), Explaining insurance options including budget impacts and risks, Short and long-term budgeting counseling, Financial resources assessment, Credit Repair counseling, Negotiating mortgage and rent forbearance, Acting as a safeguard against fraud and scams including identifying discrimination, when applicable, Wildfire season planning and preparation as it relates to temporary and long-term housing, Advocacy with insurance and mortgage companies, Connection to other resources that provide home repair relief and emergency assistance, Individualized education addressing how to remediate mold, lead, or other health hazards, Establish a property purchase eligibility and affordability threshold on an applicant-by-applicant basis, Evaluating a client’s completed Uniform Residential Loan Application (Fannie Mae Form 1003/Freddie Mac Form 65), Pre-purchase homebuyer education, Relocation counseling for home purchase options, Other Housing Counseling management services permitted under HUD Housing Counselor activities

Which of the areas below can your organization serve? (Check all that apply)
Lake County, Mendocino County, Napa County, Sonoma County

For each proposed activity indicated above, please describe the 1) target population(s), 2) service delivery areas, and 3) staffing
All proposed activities noted above will include:

1. Target Populations
Presidentially declared disaster survivors of 2017 and 2018 Federally declared Disasters; (DR4344, DR 4382), including low-income homeowners; Latinx and other minority communities - staff are all bilingual and bicultural, and serve clients whose primary language is Spanish; individuals with access and functional needs such as transportation issues, lack of access to technology, lack of access to information about disaster resources, elderly and people with disabilities, and people with language concerns.

CCDSR is particularly dedicated to addressing disaster impacted rural areas having traditionally low levels of access to housing counseling services, including areas with insufficient access to the internet and other technological supports. CCDSR prides itself on its “Love for All” philosophy in providing services that are not only expert and unbiased but also fully accessible to all, regardless of disability (mobility, sensory, developmental, emotional, physical, etc.), age, race, housing status, immigration status, location, access to technology, etc.

2. Service Delivery Areas
Mendocino, Napa, Sonoma, and Lake counties. Staff have contacts and experience working in both rural and urban parts of these counties and are well-versed in the resources and housing availability in each county.

3. HUD-certified housing counselors and disaster case managers will bring together their expertise to support all checked items. It is our agency’s intention to continue to advance additional staff (3+) in testing and certification under HUD standards.

4.2 Applicant Understanding of Regulations and Population Needs

Provide description of past experience or plan to acquire knowledge and build capacity with: The needs and difficulties or challenges facing the disaster impacted populations

Disaster Impacted Populations - Needs & Difficulties

The three target counties and their populations each face some of the most extreme housing and disaster challenges in California. Sonoma and Napa counties are some of the least affordable communities in the country, experiencing broad income inequality. Sonoma County was officially declared to be in a “Homeless Emergency” by the Sonoma County Board of Supervisors on December 17, 2019 and this declaration continues to date due to the combined impacts of the loss of over 5% of all housing due to the 2017 Tubbs Fire, the 2019 Kincade Fire housing losses, numerous sizable homeless encampments, and extremely low rates of affordable housing inventory at below 1%. Note that all these elements were in place prior to the Covid-19 pandemic and are now even more exacerbated.

Napa County shares Sonoma County’s challenge of being one of the nation's most desirable places to live, which in addition to the cost of housing development, regulations that limit affordable development the county has a severe lack of affordable housing inventory. Disasters have impacted the scale of housing stock since 2017, with a combined loss of over 6% of housing in the Tubbs Fire, an affordable housing inventory of less than 1%, and 50% of ELI households paying more than half of their income on housing.

Lake County, one of California’s most remote and rural counties, is perennially the poorest county in the state, periodically trading places with Imperial County. Since 2015 and four devastating fire seasons, 60% of land mass has burned, including 1,825 homes, resulting in a loss of 5.5% of housing stock. Now, with COVID-19 orders leading to even greater numbers of job losses, families in the region are reeling from the impact of four years of natural and medical calamities. Additionally, Disaster survivors have special vulnerabilities related to disaster trauma.

Past Experience

CCDSR was active in the immediate relief and recovery efforts during the 2006 floods, the relocation of Hurricane Katrina victims to northern California, the 2008 Napa Floods, the 2015 Lake County fires, the 2017 North Bay firestorms, and the 2019 Kincade Fire, and the 2020 Cache Fire. Through this long history of providing immediate and long-term disaster recovery services to the most vulnerable populations in our communities, CCDSR has learned and grown in our services and partnership. The integration of our internal programs as well as our ongoing partnerships with other community agencies means disaster survivors receive holistic support that acknowledges and addresses their complex needs. Specific accomplishments include:

In response to the challenging conditions our target region’s disaster survivors experience, Catholic Charities’ Disaster service methodology includes trauma informed care, delivered with integrity and respect, informed through accreditation policies and procedures (Council on Accreditation) and FEMA codified policies and procedures. This support includes creating and successfully completing housing recovery plans. Survivors may require counseling services on property issues, financial management, disaster recovery funding resources, financial and credit literacy, preparedness and mitigation planning, and other areas dependent on client situation. Our process is client-centered, and supports survivors in determining their own housing recovery plan, improving their housing conditions, and meeting their financial needs with support from our housing counselors and based on the reality of their financial situation and available Disaster and other supportive resources, including Disaster CalFresh, FEMA funding, and CalRecover CA OOR.

Provide description of past experience or plan to acquire knowledge and build capacity with: The ReCoverCA Owner-Occupied Rehabilitation Program
Past Experience

CCDSR worked to assist clients to obtain the ReCoverCa loan in Lake and Mendocino Counties for the 2017 and 2018 Wildfires and for the CalHome loan for 2015 and 2016 wildfires in Lake and Mendocino Counties.

2015/2016 CalHome: CCDSR Disaster Case Managers assisted with outreach, intake, assessment and recovery planning, and all phases of construction analysis support for both conventional stick build rebuilds and Manufactured housing purchases and installations in conjunction with the Long Term Recovery Group, Team Lake County. CCDSR case managers provided scopes of work as needed for the loan program. We developed 5-year sustainability plans with clients for housing stability that included home maintenance, property tax increases, homeowner insurance and basic utility costs, as well as disaster preparedness prior to rebuilds being funded.

2017/2018 ReCoverCa: CCDSR Case Management developed recovery plans and goals with clients and helped clients to log in to ReCoverCa website to complete surveys, provide documents requested and present cases for gap funding to cover unmet needs while ReCoverCa funding was being processed. Case Managers walked clients through rebuild processes, re-purchase processes and provided scope of work as needed in conjunction with HCD case management staff.

Capacity Building
If awarded, CCDSR HUD Housing Counseling staff will take the related CA HCD training to ensure full comprehension and compliance with the current ReCover CA Owner Occupied Rehab Program. Additionally, to supplement existing Housing Counselors, CCDSR is currently equipping 3 additional Disaster Case Managers with the tools necessary to pass the HUD certified housing counseling exam.
If awarded, CCDSR HUD Housing Counseling staff will take the CA HCD training to ensure full comprehension and compliance with the If awarded, CCDSR HUD Housing Counseling staff will take the CA HCD training to ensure full comprehension and compliance with the current ReCover CA Owner Occupied Rehab Program.

Provide description of past experience or plan to acquire knowledge and build capacity with: Developing a housing recovery plan for each individual assisted
CCDSR-Disaster Case Management program staff include construction analysis for rebuild cost analysis and are certified by the CFPB in credit counseling. Client recovery plans include budget and credit counseling services. The CCDSR Disaster Case Management program includes resource referrals and planning for up to date insurance and tax planning prior to case closing. The program also offers information to clients from internal and external resources to inform clients about mortgage products and services, rebuild costs, property tax assessments, insurance costs, availability and needs. CCDSR will include ongoing staff trainings to keep up to date information readily available to clients and include training for clients to obtain the same information on their own after their case is closed

Provide description of past experience or plan to acquire knowledge and build capacity with: Budgetary needs for conventional mortgage financing, and/or rebuilding costs, including potential property tax increases, and hazard/fire/flood insurance availability and costs
CCDSR HUD Certified Counselors and Disaster Case Management program staff include construction analysis for rebuild cost analysis and are certified by the CFPB in credit counseling. Client recovery plans include budget and credit counseling services. The CCDSR Disaster Case Management program includes resource referrals and planning for up to date insurance and tax planning prior to case closing. The program also offers information to clients from internal and external resources to inform clients about mortgage products and services, rebuild costs, property tax assessments, insurance costs, availability and needs. CCDSR will include ongoing staff trainings to keep up to date information readily available to clients and include training for clients to obtain the same information on their own after their case is closed

Provide description of past experience or plan to acquire knowledge and build capacity with: Predatory lending practices and how to educate participants
The CCDSR housing counseling team provides important ongoing safeguards in the prevention of housing scams and discrimination and serve as a gateway to local, state, federal, and private housing assistance and resources.

Housing counselors provide support to clients around the following areas, and this grant will allow us to increase our capacity to provide additional support to 2017 and 2018 disaster survivors referred from CA HCD:
o Support clients in the understanding of loan programs and what to look for to determine if the loan is predatory.
o Increase client awareness of predatory tactics and practices
o Provide client advocacy on reporting abusive practices
o Provide clients with informational resources like brochures on predatory lending and next steps.
o Provide training opportunities to counselors for up to date knowledge on predatory lending topics and associated subjects.
o Establish partnerships with local banking and government institutions for knowledge on available loan programs

Provide description of past experience or plan to acquire knowledge and build capacity with: How the organization will address one or more of these needs and problems with its available resources
CCDSR has programs to tackle many financial and housing stability concerns supported by complimentary funding sources, which if merited will be made available to CDBG DR OOR participants, including:
o Benefit enrollment
o Food distributions
o Homelessness prevention and rental/utility assistance funds
o Tax preparation and ITIN services
o Financial stability programs specifically targeted to undocumented and survivors of domestic abuse and human trafficking
o Immigration legal services
o Housing location services
o Shelter services

CCDSR staff, and especially new staff, will take full advantage of curricula and special trainings offered through the CDBG-DR award to ensure full, current knowledge of the ReCoverCA programs.

Provide description of past experience or plan to acquire knowledge and build capacity with: The geographic service area to be served
As noted above, Catholic Charities has over 30 years of experience serving the target population of the CDBG DR OOR grant in Lake, Mendocino, Napa and Sonoma Counties. We have experienced, specialized staff and offices in each of these counties and have dedicated, robust partnerships with peer providers, local parishes, and the state target population. Examples of service provision and capacity building include:

Sonoma County – Lead local COAD, county's largest HUD Housing Counseling provider and housing and homeless service provider;
Lake County – Primary Disaster Relief and Recovery CBO, wrap around services include public benefit outreach and enrollment, emergency food, and immigration legal services
Napa County – Disaster Relief and Recovery, Homeless and Housing services (Rainbow House Family Shelter, and Permanent Supportive housing)

Provide description of past experience or plan to acquire knowledge and build capacity with: The anticipated results (outcomes) to be achieved within the term of the Agreement
Anticipated results include at a minimum, 155 clients served with 1-3 housing counseling sessions (up to 465 sessions).

As noted above, CCDSR has considerable experience with tracking and reporting on HUD Housing Counseling and CDBG deliverables on HUD housing counseling, as well as a housing counseling grant through the California Housing and Finance Authority (CalHFA), as noted above. All past grant contracts and reporting of outcomes have been successfully executed to date.

4.3 Implementation Methodology

Explain your organization's methodology for the proposed service project implementation.
CCDSR's methodology will be build upon the agency's current robust implementation of disaster case management recovery programs and HUD-certified housing counseling. Project implementation will start with the completion of a full integration of these two programs to ensure full client access to expertise from both program areas. This integration will be complete with the passing of the HUD exam by additional disaster case managers.

CCDSR will accept referrals from ReCoverCA. Case managers will be assigned cases based on their ability to support client's needs (language, ability) and their current caseload to ensure clients receive ample time with their case managers.

Case managers will bring cases to bi-weekly case conferencing sessions for review by program managers and assistant directors. These case conferencing sessions will provide case managers with guidance on difficult cases and provide oversight of case closures, ensuring all resource and service related avenues are exhausted for clients, especially those with access and functional needs.

Upon receiving ReCoverCA referrals, internal client referrals will be made via the Efforts to Outcomes database, as well as externally for client need of resources our agency does not provide, using trusted referral platforms including UniteUs. Client confidentiality and sound data practices will be utilized, and client information will never be shared without a signed Release of Information (ROI) and if merited, a Data Sharing Agreement may be required. Budgeting and expense tracking will be completed by Assistant Directors and the accounting and compliance teams. Staff time will be allocated by directors, and oversight for staff time entered will be overseen by managers.

Modes of Counseling
HUD certified Housing Counseling workshops and one-on-one counseling sessions will be provided via face-to-face casework meetings, telephone, or online, and be available in Spanish and English. CCDSR complies with Public Health orders and migrates as needed to COVID 19 approved protocols, and has capacity to serve clients virtually.

Building trust and consistency is a vital aspect of Housing Counseling work, so our team works with the clients to develop communication plans that fit their individual needs and level of technical knowledge. Additionally, when needed, Housing Counselors meet with clients in the field, especially those that have limited access, are remote or face other transportation or technology challenges.

CCDSR ensures program access and equitable reach via:
• The implementation of a Limited English Proficiency Policy for persons who do not speak English as their primary language. The Policy outlines a Language Access Plan with criteria for the provision of translated documents and/or the use of an interpreter, including sign language.
• Requesting clients at intake to disclose disability-related needs to ensure special accommodations are provided as needed (e.g., providing large-print materials or sign language interpretation services);
• Reliable and consistent client data collection and analysis to ensure the most vulnerable in the community are being adequately reached, served, and are seeing positive outcomes from the investment of their time us;
• Membership of the region's Volunteer Organizations Active in Disasters (VOADs) and leadership in disaster relief and long-term recovery in the target counties, providing immediate disaster emergency relief, and longer-term disaster housing counseling as well as financial assistance for unmet needs.

What is your organization's proposed timeline for the project?
CCDSR projects a three year timeline for the grant term.

4.4 Monitoring and Evaluation

Describe your organization's experience on how to track and monitor (evaluation tools) the progress of the services and/or activities utilizing CDBG-DR funds
CCDSR obtained accreditation through the Council on Accreditation (COA) in March 2013, and our accreditation was renewed in October 2017. As part of the rigorous accreditation preparation and review process, the agency developed comprehensive policies and procedures for all programs and services, including housing counseling and disaster case management tracking and monitoring policies and procedures.

CCDSR has over ten years of experience successfully implementing, evaluating and executing HUD CDBG grant contracts. The HUD Housing Counseling and CDBG DR funds will be tracked via the agency's case management system Efforts to Outcomes (ETO) database tracking client registration, progress toward housing action plan target outcomes, services and outcomes. All HUD-required data is collected on touchpoints within ETO for every client as well as detailed case notes and recovery plan documents. The touchpoints would be adjusted to note when a client is associated with this CDBG-DR grant.

The Director of Financial Stability and Crisis Response retains ultimate responsibility to ensure compliance with the Housing Counseling grant and program performance requirements. To facilitate that compliance, the Director and staff directly involved in the execution of grant-funded activities receive and read the funding contract and related regulations, participate in mandatory trainings, meet monthly to review and create solutions regarding difficult housing counseling cases, generate monthly and quarterly program reports using the agency's case management system (ETO), and participate in ongoing agency-wide performance quality improvement activities year-round.

Additionally, as a sub-grantee to Catholic Charities USA, CCDSR is monitored regularly to determine compliance with HUD Housing Counseling performance guidelines, outcome measures, and budget policies.

Explain how your organization will track and monitor (evaluation tools) the progress of the services proposed and/or activities utilizing CDBG-DR funds
CCDSR utilizes Efforts to Outcomes to track all client registrations, services, and referrals. All HUD-required data is collected on touchpoints within ETO for every client as well as detailed case notes and recovery plan documents. The touchpoints would be adjusted to note when a client is associated with this CDBG-DR grant.

4.5 Compliance with Federal Policy and Procedure

Describe your organization's experience complying with federal policy and procedural requirements
As noted above, Catholic Charities has significant experience complying with federal policy and procedural requirements, including procedural and financial requirements of 2 CFR 200, including the single audit requirement. The agency has successfully stewarded over 10 years of HUD Housing Counseling, CDBG (15+ years), VA (10+ years), and other Federal Grant contracts

Explain how your organization will comply with federal policy and procedural requirements
The Compliance program within CCDSR is a high priority for our agency. Our agency has a focused direction to adhere to all compliance requirements from implementation, program management and financial reporting. Within our Agency-wide compliance program, we have dedicated staff to document internal review of grant contracts, reporting content, as well as calendared dates to meet contract deadlines. The agency has a dedicated team of Grant accountants focused on proactively reviewing financial compliance requirements, ensuring our acquisition cost for goods and services comply with the terms and conditions of Federal awards.

Catholic Charities maintains high grant contract and spending visibility and transparency through the agency's internal document management system (see attached Financial Controls Policies and Procedures). Grant Accountants assigned to the HUD Housing Counseling Program are well versed in 2 CFR Part 200.430. Finally, we welcome an annual financial audit through an external, independent audit firm. The scope of the audit includes a review of internal controls to confirm our transactions are following the terms and conditions of Federal awards. Our Audit engagements include a requirement to perform a single audit of our grants recording, invoicing and compliance management as part of our continuous quality improvement plan.

Does your organization represent and certify you will adhere to any requirements applicable to the CDBG-DR Program?
I represent and certify that my organization will adhere to any requirements applicable to the CDBG-DR Program

Section 5: Budget Worksheets

Enter the total funding you are requesting from the CDBG-DR grant.
$267,741.70

How many beneficiaries does your organization intend to serve with the funds requested from this NOFA?
155

Comments or clarifications on budget proposal:
The proposed budget submitted is for a 3 year term, and is scalable given referral scope and available resources. Please see Budget Narrative for details. We will serve at a minimum 155 participants already enrolled in Lake, Sonoma and Napa Counties for 1-3 sessions. We welcome additional participants who may have yet to enroll from our region given the need for this service.

While the budget term is three years, this time period and projected expenses may shift in the event participants are served prior to grant term end.

IMPORTANT: Before submitting your application, please scroll down to the bottom of this listing and complete the eCivis Budget Worksheet. IF this worksheet is not submitted, then the total award amount will appear as "0" after you submit your application
Yes, I certify that I have completed the eCivis budget worksheet

Average Score
150.00

View Budget Worksheet
https://portal.ecivis.com/#/peerBudget/90829B65-5513-422F-A233-1B6D6C69AFB1

View Application Goals
https://portal.ecivis.com/#/peerGoals/73EF2C22-1793-489C-AFA3-ED6613DA7FC0

# of Reviews
1

# of Denials
0

Applications: File Attachments

If yes, please upload HUD certification showing date organization was certified
HUD Housing Counseling Certification.pdf

If yes, please upload evidence of the Tax Exempt Status
1. Catholic Charities of Santa Rosa 501c3 Documentation.pdf

If no, please upload a SAM.gov screenshot showing the date of generation that demonstrates your organization is in good standing with the Federal Government, has a registered and active DUNS number, and is not debarred or prohibited from receiving federal funds.
SAMS Documentation.pdf

Upload fully executed Board Resolution
Board Resolution and Authorizations submit.pdf

If yes, upload your organization's most recent single audit (single file, PDF or Word format)
CCSR Audited Financials 19.20.pdf

Please complete and upload the form STD 204 found in the solicitation listing: https://gn.ecivis.com/GO/srmng_downloadSolicitationFileExt/SOLICITATIONFILEID/o62ovzbuf14~
1.2 STD 204 - Payee Data Record.pdf

Please upload all organizational documents as one PDF or Word file
Organizational Documents.pdf

Please upload all policies and procedures as one PDF or Word file

Fin Control Policies Procedures.pdf

Upload Conflict of Interest Policies and Procedures and/or Conflict of Interest certification
Conflict of Interest Policies Procedures.pdf

Upload an Organizational Chart of your organization with lines of responsibility and authority in the administration of the Applicant’s business as a housing counseling organization.
Org Chart for Grant CDBG DR submit.pdf

Upload your availability chart as a single document (single file, PDF or Word format)
Availability Chart submit.pdf

Upload resumes for all Key Personnel (single file, PDF or Word format)
Resumes Key Personnel CDBG DR.pdf

Upload CDBG-DR activities organization chart (single file, PDF or Word format)
CDBG DR OOR HOUSING COUNSELING STAFF CHART .xlsx

HUD Approved Housing Counseling Agencies

GO BACK

This listing is current as of **01/26/2022**.

Click here to narrow your search.

Printer Friendly Version.

Agencies located in CALIFORNIA

Agency Name	Phone, Toll-Free, Fax Number, Email, Website, Agency ID	Address	Counseling Services	Languages	Parent Organization
CATHOLIC CHARITIES, DIOCESE OF SANTA ROSA	**Phone:** 707-528-8712-378 **Fax:** 707-575-4910 **E-mail:** fcarvajal@srcharities.org **Website:** www.srcharities.org **Agency ID:** 81105	987 Airway Court SANTA ROSA, California 95403-2048	- Services for Homeless Counseling	- English - Spanish	CATHOLIC CHARITIES USA

You can narrow your search within this state by using one or more of the following search criteria and clicking the "Search" button. To choose another state please click on the "Go Back" link at the **top of this page.**

Agency Name: Catholic Charities, Diocese
Specific City: Santa Rosa
Specific Zip:
Counseling Service:
Language:
Parent Organization:
Designation: ☐ Colonias ☐ Faith Based ☐ Migrant Workers

Search

DIOCESE OF SANTA ROSA
CHANCERY OFFICE
P.O. BOX 1297
SANTA ROSA, CALIFORNIA
95402-1297

PHONE (707) 545-7610
FAX (707) 542-9702

September 26, 2014

TO WHOM IT MAY CONCERN:

Catholic Charities of the Diocese of Santa Rosa located at 987 Airway Court, Santa Rosa, California 95403, is an activity of the Roman Catholic Church in the Diocese of Santa Rosa, under the ecclesiastical jurisdiction and control of the Roman Catholic Bishop of Santa Rosa, A California Corporation Sole. The federal employer identification number for the Diocese of Santa Rosa is 94-1530038. The federal employer identification number of Catholic Charities is 94-2479393.

The Roman Catholic Diocese of Santa Rosa embraces all of the geographical area within the California counties of Del Norte, Humboldt, Mendocino, Sonoma, Lake and Napa.

Parish and school properties are owned and operated for religious and educational purposes by either the Roman Catholic Bishop or its affiliate corporation, the Roman Catholic Welfare Corporation of Santa Rosa.

Both of these corporations are organized and operated as non-profit corporations and both of them are specifically exempt from payment of California bank and corporation taxes under Section 23701(d) of the Revenue and Taxation Code of California.

Both of these corporations are specifically exempt from federal income and certain other federal taxes under group rulings issued by the Internal Revenue Service, which apply also to auxiliary and affiliate activities of the Roman Catholic Church.

If further information is required, please contact our Chancery Office at the above address or telephone number.

Sincerely yours,

DIOCESE OF SANTA ROSA

David M. Adams

David M. Adams
Finance Officer

Internal Revenue Service
P.O. Box 2508
Cincinnati, OH 45201

Department of the Treasury

Date: June 4, 2014

Person to Contact:
Roger Meyer ID# 0110429
Toll Free Telephone Number:
877-829-5500
Employer Identification Number:
53-0196617
Group Exemption Number:
0928

United States Conference of Catholic Bishops
3211 4th Street, NE
Washington, DC 20017-1194

Dear Sir/Madam:

This responds to your May 19, 2014, request for information regarding the status of your group tax exemption.

Our records indicate that you were issued a determination letter in March 1946, that you are currently exempt from federal income tax under section 501(c)(3) of the Internal Revenue Code, and are not a private foundation within the meaning of section 509(a) of the Code because you are described in sections 509(a)(1) and 170(b)(1)(A)(i).

With your request, you provided a copy of the *Official Catholic Directory for 2014*, which includes the names and addresses of the agencies and instrumentalities and the educational, charitable, and religious institutions operated by the Roman Catholic Church in the United States, its territories, and possessions that are subordinate organizations under your group tax exemption. Your request indicated that each subordinate organization is a non-profit organization, that no part of the net earnings thereof inures to the benefit of any individual, and that no substantial part of their activities is for promotion of legislation. You have further represented that none of your subordinate organizations is a private foundation under section 509(a), although all subordinates do not all share the same sub-classification under section 509(a). Based on your representations, the subordinate organizations in the *Official Catholic Directory for 2014* are recognized as exempt under section 501(c)(3) of the Code under GEN 0928.

Donors may deduct contributions to you and your subordinate organizations as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to them or for their use are deductible for federal estate and gifts tax purposes if they meet the applicable provisions of section 2055, 2106, and 2522 of the Code.

Subordinate organizations under a group exemption do not receive individual exemption letters. Most subordinate organizations are not separately listed in Publication 78 or the EO Business Master File. Donors may verify that a subordinate organization is included in your group exemption by consulting the *Official Catholic Directory*, the official subordinate listing approved by you, or by contacting you directly. IRS does not verify the inclusion of subordinate organizations under your group exemption. *See* IRS Publication 4573, *Group Exemption*, for additional information about group exemptions.

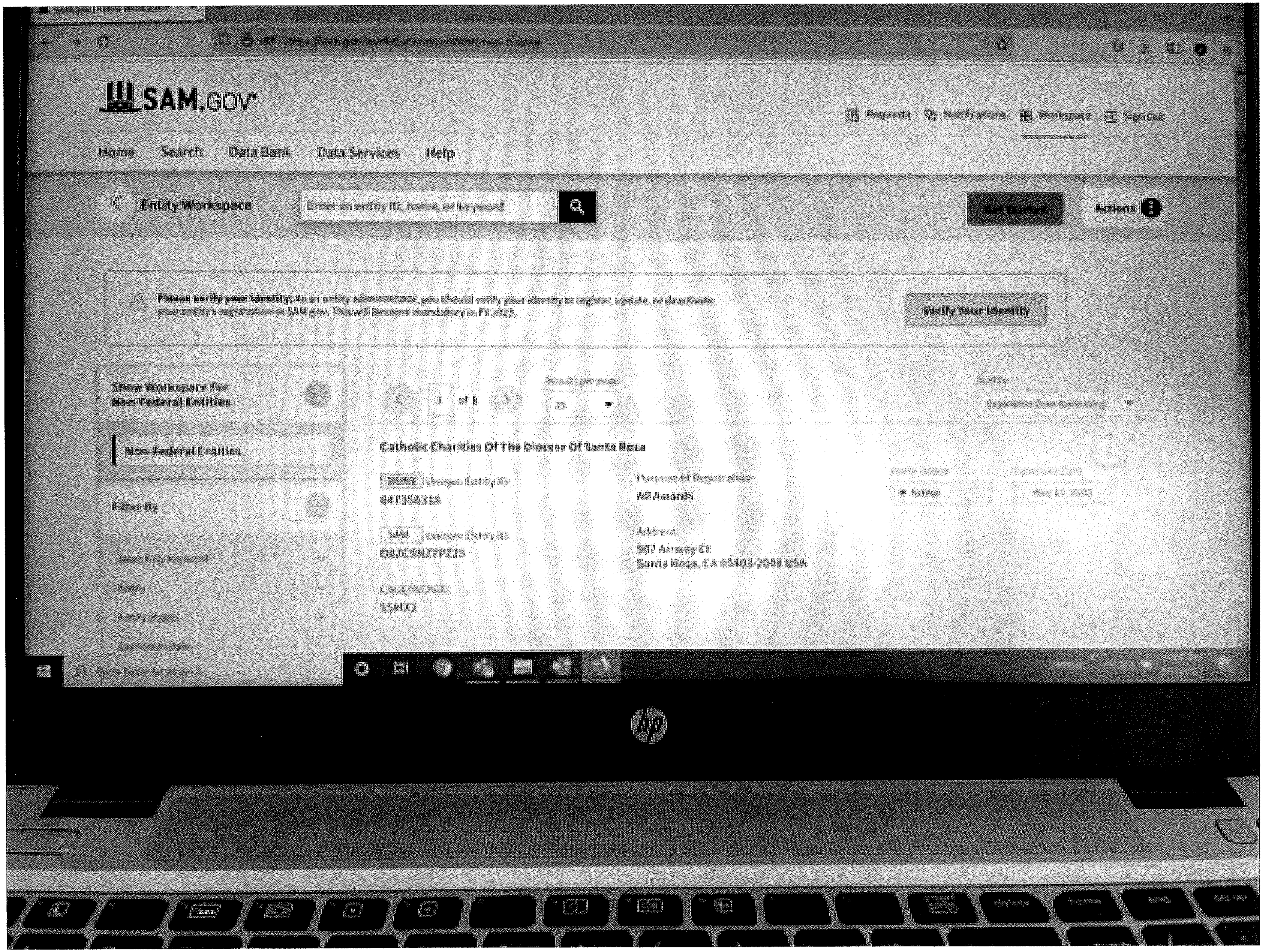
Each subordinate organization covered in a group exemption should have its own EIN. Each subordinate organization must use its own EIN, not the EIN of the central organization, in all filings with IRS.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely,

Tamera Ripperda

Tamera Ripperda
Director, Exempt Organizations


SAM.GOV
Reports
Notifications
Workspace
Sign Out
Home
Search
Data Bank
Data Services
Help
Entity Workspace
Get Started
Actions
Verify Your Identity
Show Workspace For Non-Federal Entities
Non-Federal Entities
Filter By
Catholic Charities Of The Diocese Of Santa Rosa
All Awards

SAM.GOV

Entity Workspace Results 1 Total Results

Catholic Charities Of The Diocese Of Santa Rosa

DUNS **Unique Entity ID:** 847356318

SAM **Unique Entity ID:** D8ZCSNZ7PZ25

CAGE/NCAGE: 55MX2

Entity Status: Active

Physical Address:
987 Airway Ct
Santa Rosa , CA
95403-2048 USA

Expiration Date:
Nov 17, 2022

Purpose of Registration:
All Awards

DocuSign Envelope ID: 784E56D5-DF2D-47F2-82B4-AEB925DAA7A9

Authorizing Resolution of the Board of Directors

Applicants are required to use this Resolution in content and form.

RESOLUTION NO. 222022

A RESOLUTION APPROVING SUBMITTAL OF AN APPLICATION AND THE EXECUTION OF A SUBRECIPIENT AGREEMENT AND ANY AMENDMENTS THERETO FROM THE CDBG-DR PROGRAM

BE IT RESOLVED by the **Board of Directors** of Catholic Charities of the Diocese of Santa Rosa, a non-profit 501 (c) 3 organization ("Applicant"), as follows:

SECTION 1:

Applicant hereby authorizes the submittal of an application ("Application") to the California Department of Housing and Community Development ("HCD") for funding under the Community Development Block Grant - Disaster Recovery ("CDBG-DR") ReCoverCA 2021 Housing Counseling Services Notice of Funding Availability (the "NOFA"), and if selected for such funding, the execution of a Subrecipient Agreement ("Agreement"), together with any amendments thereto, and the execution of any related documents necessary or desirable to participate in the CDBG-DR program.

The Applicant wishes to receive an allocation of funds ("Award") from HCD under the CDBG-DR Program in the aggregate amount, not to exceed, $750,000 to perform the following activities, as further detailed in the Application: HUD Certified Housing Counseling to provide guidance, advice and other technical assistance to Applicants of the HCD ReCoverCA housing program from the disaster impacted counties as noticed in the RFP.

SECTION 2:

The Applicant hereby authorizes and directs the (*title of designated representative*) Executive Director, or designee*, to enter into, execute and deliver the Agreement and any and all subsequent amendments thereto with the State of California for the purposes of the Award.

SECTION 3:

The (*title of designated representative*) Executive Director, or designee*, is authorized to execute and deliver all applications or any and all related documentation, as needed for the purpose of effectuating the terms of the Agreement; and to act on the Applicant's behalf in all matters pertaining to all such applications and documentation necessary to carry out the Agreement.

SECTION 4:

If an application is approved, the (*title of designated representative*) Executive Director, or designee*, is authorized to enter into, execute and deliver any and all subsequent amendments thereto with the State of California for the purposes of the Award.

SECTION 5:

If an application is approved, the (*title of designated representative*) Executive Director, or designee*, is authorized to sign and submit Funds Requests and all required reporting forms and other documentation as may be required by the State of California from time to time in connection with the Agreement for purposes of the Award.

** Important Note: If the designee is signing any application, agreement, or any other document on behalf of the designated representative of the Applicant, written proof of designee authority to sign on behalf of such designated representative must be included with the Resolution, otherwise the Resolution will be deemed deficient and rejected. Additionally, do not add limitations or conditions on the ability of the signatory or signatories to sign documents, or the Resolution may not be accepted. If more than one party's approval is required, list them as a signatory. Inclusions of additional limitations or conditions on the authority of the signer will result in the Resolution being rejected and will require your entity to issue a corrected Resolution prior to the Department issuing a Subrecipient Agreement.*

PASSED AND ADOPTED at a regular meeting of the **Board of Directors** of Catholic Charities of the Diocese of Santa Rosa held on Thursday, February 10, 2022 by the following vote:

Instruction: Fill in all four vote-count fields below. If none, indicate "0" for that field.

AYES: 12 NOES: 0

ABSENT: 3 ABSTAIN: 0

CERTIFICATE OF THE SECRETARY

The undersigned, Secretary of Catholic Charities of the Diocese of Santa Rosa, a non-profit 501 (c) 3 organizations, does hereby attest and certify that the foregoing Resolution is a true, full, and correct copy of a resolution duly adopted at a meeting of the Board of Directors of said Corporation which was duly convened and held on the date stated thereon, and that said document has not been amended, modified, repealed, or rescinded since its date of adoption and is in full force and effect as of the date hereof.

Date: 2/12/2022

Catherine Trione, Secretary Board Of Directors

Name and Title

DocuSigned by:

Catherine Trione

4C1BA1957B334F1...

Signature

RESOLUTION

RESOLVED, that any of the following officers and employees of Catholic Charities of the Diocese of Santa Rosa ("Corporation"), to wit:

Len Marabella, Chief Executive Officer

be, and hereby is authorized to sign contracts and other documents on behalf of the Corporation, including, but not limited to CDBG contracts, grant applications that require the Chief Executive Officer's signature for submission, other contracts, leases and general business and financial documents and agreements reasonably necessary for conducting the usual affairs of the Corporation, and consistent with the approved annual business plan or budget, and that does not represent substantial change in strategic direction. No authority conferred shall conflict with any authority conferred by the By-Laws of this Corporation.

If Len Marabella is unavailable, the Board President or the Chief Financial Officer of the Corporation is authorized to sign contracts and other documents on behalf of the Corporation as provided above.

FURTHER RESOLVED, that any party to such contract or other documents to whom a copy of this resolution shall be delivered, may rely upon this resolution until such time as written notice of any change, amendment or cancellation thereof shall have been received by such party.

PASSED AND ADOPTED at a regular meeting of the Corporate Board of Directors of Catholic Charities of the Diocese of Santa on July 9, 2020.

CERTIFYING OFFICERS SIGNATURE AND TITLE:

Cathy Trione

Cathy Trione, Secretary of the Board

Rick Abbott

Rick Abbott, President of the Board

Catholic Charities of the Diocese of Santa Rosa

Financial Statements
and Single Audit Reports and Schedules

June 30, 2020
(With Comparative Totals for 2019)

armanino

TABLE OF CONTENTS

INDEPENDENT AUDITOR'S REPORT

Board of Directors
Catholic Charities of the Diocese of Santa Rosa
Santa Rosa, California

We have audited the accompanying financial statements of Catholic Charities of the Diocese of Santa Rosa (a California nonprofit corporation) (the "Catholic Charities"), which comprise the statement of financial position as of June 30, 2020, and the related statements of activities, functional expenses, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with 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 of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Catholic Charities of the Diocese of Santa Rosa as of June 30, 2020, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

MOORE
An independent firm
associated with Moore
Global Network Limited

Emphasis of Matter

As discussed in Note 15 to the financial statements, on March 11, 2020, the World Health Organization declared the novel strain of coronavirus (COVID-19) a global pandemic and recommended containment and mitigation measures worldwide. The ultimate financial impact and duration of these events cannot be reasonably estimated at this time. Our opinion is not modified with respect to this matter.

Other Matter

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards, as required by Title 2 U.S. *Code of Federal Regulations* (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, is presented for purposes of additional analysis and is not a required part of the 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 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 financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated March 3, 2021, on our consideration of the Catholic Charities's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Catholic Charities's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Catholic Charities's internal control over financial reporting and compliance.

Report on Summarized Comparative Information

We have previously audited Catholic Charities of the Diocese of Santa Rosa's 2019 financial statements, and our report dated March 26, 2020 expressed an unmodified opinion on those audited financial statements. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2019, is consistent, in all material respects, with the audited financial statements from which it has been derived.

Armanino LLP

Armanino[LLP]
San Francisco, California

March 3, 2021

Catholic Charities of the Diocese of Santa Rosa
Statement of Financial Position
June 30, 2020
(With Comparative Totals for 2019)

	2020	2019
ASSETS		
Cash and cash equivalents	$ 4,116,825	$ 3,006,676
Investments	6,866,361	7,518,162
Grants receivable	2,852,529	1,757,176
Promises to give, net	3,369,587	2,821,745
Prepaid expenses and other current assets	301,357	290,918
Property and equipment, net	13,301,524	11,788,188
Total assets	$ 30,808,183	$ 27,182,865
LIABILITIES AND NET ASSETS		
Liabilities		
Accounts payable	$ 395,190	$ 394,466
Accrued expenses and other liabilities	1,613,810	933,250
Accrued interest	246,377	229,144
Deferred revenue	3,500,000	3,517,807
Line of credit	-	100,000
Refundable advance - Paycheck Protection Program	909,671	-
Notes payable	2,315,389	2,415,863
Total liabilities	8,980,437	7,590,530
Net assets		
Without donor restrictions	10,704,928	9,646,474
With donor restrictions	11,122,818	9,945,861
Total net assets	21,827,746	19,592,335
Total liabilities and net assets	$ 30,808,183	$ 27,182,865

The accompanying notes are an integral part of these financial statements.

Catholic Charities of the Diocese of Santa Rosa
Statement of Activities
For the Year Ended June 30, 2020
(With Comparative Totals for 2019)

	Without Donor Restrictions	With Donor Restrictions	2020 Total	2019 Total
Revenues, gains, and other support				
Government grants	$ 10,403,636	$ -	$ 10,403,636	$ 8,758,105
Government grant - Paycheck Protection Program	1,239,884	-	1,239,884	-
Private grants and contributions	2,613,038	7,392,614	10,005,652	11,314,580
Program revenue	177,178	-	177,178	244,502
Retail store sales	175,889	-	175,889	454,707
Donated goods and services	419,341	-	419,341	683,338
Rental income	375,956	-	375,956	314,898
Loss on disposal of property and equipment	(1,849)	-	(1,849)	-
Other revenue	75,462	-	75,462	149,696
Interest and dividends	125,267	6,442	131,709	114,522
Realized and unrealized gain on investments, net	1,014	5,974	6,988	16,209
Net assets released from restriction	6,228,073	(6,228,073)	-	-
Total revenues, gains, and other support	21,832,889	1,176,957	23,009,846	22,050,557
Functional expenses				
Program services	18,115,858	-	18,115,858	15,385,938
Support services				
Management and general	1,746,099	-	1,746,099	1,700,605
Fundraising	912,478	-	912,478	711,980
Total support services	2,658,577	-	2,658,577	2,412,585
Total functional expenses	20,774,435	-	20,774,435	17,798,523
Change in net assets	1,058,454	1,176,957	2,235,411	4,252,034
Net assets, beginning of year	9,646,474	9,945,861	19,592,335	15,340,301
Net assets, end of year	$ 10,704,928	$ 11,122,818	$ 21,827,746	$ 19,592,335

The accompanying notes are an integral part of these financial statements.

Catholic Charities of the Diocese of Santa Rosa
Statement of Functional Expenses
For the Year Ended June 30, 2020
(With Comparative Totals for 2019)

	Program Services						Support Services			
	Caritas Village	Homeless Services	Housing	Immigration	Community and Parish Services	Social Enterprise	Management and General	Fundraising	2020 Total	2019 Total
Personnel expenses	$ 185,440	$ 4,810,542	$ 1,105,646	$ 807,371	$ 3,153,721	$ 167,783	$ 1,306,933	$ 641,913	$12,179,349	$10,116,110
Donated supplies, food, and rent	20,000	14,583	31,141	-	182,896	170,721	-	-	419,341	683,338
Telephone and utilities	1,936	303,070	144,774	28,101	91,868	25,879	77,842	14,731	688,201	669,087
Depreciation and amortization	-	82,294	82,879	16,139	44,390	1,296	29,196	9,614	265,808	328,229
Supplies	1,765	456,303	44,722	17,123	265,241	2,657	21,978	13,660	823,449	646,073
Professional and outside services	1,756,455	227,832	65,025	46,649	223,754	5,847	135,291	46,169	2,507,022	1,595,724
Office rent	-	54,636	746,939	1,800	21,847	93,150	4,744	670	923,786	903,420
Insurance	-	23,533	9,123	7,268	32,702	2,276	9,064	3,151	87,117	82,612
Client assistance	139	237,413	921,195	24,010	1,141,856	-	300	164	2,325,077	1,888,097
Subcontractors and subrecipients	-	150,668	-	297,932	144,547	-	-	-	593,147	493,216
Interest expense	82,939	-	9,405	-	-	-	-	-	92,344	108,826
Building repairs and maintenance	3,498	447,049	231,848	4,343	35,929	6,575	10,904	2,424	742,570	511,928
Meetings and conferences	326	16,997	3,165	2,100	21,790	926	11,353	6,771	63,428	50,713
Printing and advertising	6,147	5,800	2,327	1,608	23,153	4,946	14,882	67,733	126,596	99,083
Equipment rent and maintenance	-	67,272	7,202	5,053	9,428	3,428	7,828	2,775	102,986	83,684
Travel	475	44,653	7,246	10,468	77,050	5,724	5,478	8,193	159,287	135,288
Miscellaneous	-	-	-	-	-	10,550	-	60,000	70,550	69,057
Postage	-	199	95	5,977	4,076	18	3,311	10,028	23,704	33,285
Dues and subscriptions	20	2,756	-	662	7,003	-	21,182	5,326	36,949	38,717
Bank fee and data processing	-	7,056	3,528	-	-	4,870	49,196	9,000	73,650	87,358
Taxes and licenses	10,228	16,389	10,875	10,438	51,720	129	36,617	10,156	146,552	119,192
Expenses for capital projects	(1,676,478)	-	-	-	-	-	-	-	(1,676,478)	(944,514)
	$ 392,890	$ 5,969,045	$ 3,427,135	$ 1,287,042	$ 5,532,971	$ 506,775	$ 1,746,099	$ 912,478	$20,774,435	$17,798,523

The accompanying notes are an integral part of these financial statements.

Catholic Charities of the Diocese of Santa Rosa
Statement of Cash Flows
For the Year Ended June 30, 2020
(With Comparative Totals for 2019)

	2020	2019
Cash flows from operating activities		
Change in net assets	$ 2,235,411	$ 4,252,034
Adjustments to reconcile change in net assets to net cash provided by (used in) operating activities		
Change in allowance for doubtful accounts	24,412	(21,331)
Change in discount on long-term promises to give	6,462	(6,097)
Depreciation and amortization	265,808	328,229
Forgiveness of note payable	(81,241)	(919,766)
Forgiveness of accrued interest	(20,650)	-
Donated investments	-	(3,515,190)
Contributions restricted for long-term investment	(1,770,049)	(6,054,495)
Loss on disposal of property and equipment	1,849	-
Realized and unrealized gain on investments, net	(6,988)	(16,209)
Grants receivable	(1,095,353)	(104,886)
Promises to give	(578,716)	198,617
Prepaid expenses and other current assets	(10,439)	1,047
Accounts payable	724	171,082
Accrued expenses and other liabilities	680,560	175,155
Accrued interest	37,883	(141,400)
Deferred revenue	(17,807)	3,517,807
Refundable advance - Paycheck Protection Program	909,671	-
Net cash provided by (used in) operating activities	581,537	(2,135,403)
Cash flows from investing activities		
Redemption of investments	5,600,000	4,733,545
Purchase of investments	(4,941,211)	(7,112,395)
Purchase of property and equipment	(1,780,993)	(2,132,535)
Net cash used in investing activities	(1,122,204)	(4,511,385)
Cash flows from financing activities		
Principal payments on notes payable	(19,233)	(17,989)
Payments on line of credit, net	(100,000)	(230,000)
Proceeds from borrowings on notes payable	-	199,250
Contributions restricted for long-term investment	1,770,049	6,054,495
Net cash provided by financing activities	1,650,816	6,005,756
Net increase (decrease) in cash	1,110,149	(641,032)
Cash and cash equivalents, beginning of year	3,006,676	3,647,708
Cash and cash equivalents, end of year	$ 4,116,825	$ 3,006,676

Supplemental disclosure of cash flow information

	2020	2019
Cash paid during the year for interest	$ 54,461	$ 55,705

The accompanying notes are an integral part of these financial statements.

1. NATURE OF OPERATIONS

Catholic Charities of the Diocese of Santa Rosa ("Catholic Charities") is engaged in charitable activities in the Roman Catholic Diocese of Santa Rosa (the "Diocese"). The Diocese encompasses Sonoma, Lake, Mendocino, Napa, Del Norte, and Humboldt counties in Northern California. Catholic Charities serves over 20,000 children and adults annually through services across its six-county service area, providing housing and homeless services, health and financial wellness programs, senior services, immigration counseling and long-term disaster recovery assistance. Catholic Charities is funded though federal, city, county and state contracts in addition to contributions from private foundations and individuals, corporation donations, rent, program fees and revenue generated by the agency thrift store operation.

Programs

Caritas Village

- *Caritas Village* - Caritas Village is Catholic Charities' affordable housing and services development project located in downtown Santa Rosa, on land purchased by the agency in 2015. Intended to replace facilities and enhance services that Catholic Charities has provided onsite for over 30 years, Caritas Village will also include over 120 units of permanent affordable housing to be funded, built, and managed in partnership with Burbank Housing, a local affordable housing developer. Thanks to onsite services such as a family shelter, medical recuperation shelter, housing counseling programs, navigation center, and health clinic, over 1,300 people per year will find permanent housing through Caritas Village. The development was submitted to the City of Santa Rosa for entitlement review in September 2018 and will break ground in 2021.

Emergency Shelters

- *Nightingale* - Nightingale provides a total of 37 respite shelter beds for those who are experiencing homelessness and are being discharged from the hospital. Nightingale programs are located in Sonoma and Napa County.
- *Family Support Center* - With 138 beds, this Santa Rosa shelter helps families move from homelessness to permanent housing as rapidly as possible. Services include housing focused case management, referrals to other agencies, sobriety support groups, parenting skills support, meals and children’s services including school coordination and childcare referrals.
- *Samuel L Jones Hall* - This program located in Santa Rosa provides 213 beds of year-round emergency shelter for adults experiencing homelessness.

1. NATURE OF OPERATIONS (continued)

Programs (continued)

Homeless Services Programs

- *Homeless Outreach Services Team (HOST)-* HOST provides outreach to people living in unsheltered locations throughout Sonoma County, linking them to physical health, mental health, and economic assistance services as well as to Coordinated Entry. Project areas are defined as anywhere unsheltered homeless persons are found, including, but not limited to, waterways, trails, and encampments. Services offered by HOST facilitate entry into housing and improve the health and well-being of individuals experiencing homelessness.
- *Coordinated Entry* - Catholic Charities is the Coordinated Entry program operator for the County of Sonoma, providing streamlined countywide access to housing, shelter, and services for people experiencing or at imminent risk of homelessness. Coordinated Entry prioritizes individuals and families for permanent housing or temporary shelter based on assessment of vulnerability and needs using a standardized, nationally-recognized assessment tool to ensure those experiencing homelessness have equal access to housing and resources. Coordinated Entry reduces the length of time people experience homelessness and promotes individual choice of services and housing.
- *Homelessness Diversion* - The Diversion program works with persons in Sonoma County presenting for Coordinated Entry services to identify solutions other than entering homeless services. It also provides supportive services for persons at-risk of homelessness who seek assistance, but are ineligible for, the Coordinated Entry project. Diversion services may include rent or utility assistance and tailored support services to stabilize low-income families or individuals at imminent risk of homelessness.
- *Homeless Service Center (HSC)* - The HSC, located in Santa Rosa and offers a drop-in day program for adult men and women experiencing homelessness. Dignity services provided on site include free lockers, showers, laundry, telephone, mail service, and program referrals. The HSC serves between 1,800 and 2,000 people annually.

Immigration

- *Immigration Services* - The Federal Department of Justice accredits the Catholic Charities immigration office and staff who provide free or low-cost immigration legal consultations and education on immigration benefits and new federal laws, reunite families, help individuals become U.S. Citizens, assist immigrant victims of domestic violence and human trafficking, and empower immigrants to become more fully involved in civic life.

1. NATURE OF OPERATIONS (continued)

Programs (continued)

Community and Parish Services

- *Community Connections* - Community connections provides health education and enrollment assistance for public nutrition and medical benefits in Sonoma, Lake, Napa and Mendocino Counties. Supporting services include financial education and coaching, income tax preparation for low income families, and community resource referrals.
- *Rural Food Program (RFP)* - The RFP distributes free food to low income members of the community at sites throughout Sonoma and Lake Counties, including the Eat Fresh distributions at Catholic Charities Santa Rosa headquarters.

Housing Programs

- *Housing Counseling* - Catholic Charities is one of only two HUD-certified housing counseling agencies in Sonoma County that provides counseling on rental issues, occupancy problems, and assistance with Section 8 housing.
- *Palms Inn Permanent Supportive Housing* - Previously a 104-unit motel, the Palms Inn was converted into Permanent Supportive Housing for Veterans and chronically homeless individuals. Catholic Charities manages 44 of the units for individuals who were chronically homeless and provides 24/7 site support for Veterans living at The Palms.
- *Permanent Supportive Housing Master Lease Program* - Through individual homes or apartments master leased by Catholic Charities in Sonoma County, vulnerable adults experiencing homelessness access permanent housing with ongoing support services.
- *Rapid Re-housing Program (RRH)* - RRH provides rent and utility assistance, housing counseling, and case management to low-income households in Sonoma County.
- *Rainbow House* - Homeless families (up to 50 mothers and children a year) live in this transitional housing program in Napa and receive comprehensive support services to access permanent housing, improve income and education, and develop life skills.
- *Imola House* - Persons with disabilities are offered one of eight subsidized apartments along with ongoing case management support.

Senior Programs

- *Shaw Memory Care Center* - The Shaw Memory Care Center (the "Center") is a state-licensed care program that provides a full day program for adults living with memory loss diagnosis. The Center operates five days a week, giving family members respite from care-giving while the loved ones diagnosed with memory loss participate in social programs to support their overall quality of life. The Center also offers support groups for family members and a registered nurse on staff.

1. NATURE OF OPERATIONS (continued)

Senior Programs (continued)

- *The CARES Program* - The Cares Program provides free private transportation for seniors no longer able to drive so they can access medical appointments and attend to grocery shopping and other errands.
- *I'm Home Alone (IHA)* - IHA volunteers make daily telephone calls to seniors and other homebound adults to ensure clients are well. Over 1,000 individuals are contacted annually.

Social Enterprise

Restyle Marketplace - Catholic Charities operates a thrift store that sells donated merchandise to create revenue for the agency, expand community awareness of agency services and programs, and provide job skills development and community service opportunities for volunteers.

Disaster Relief and Recovery

Wildfire Recovery Disaster Case Management (DCM) - Focused on long term recovery for those affected by wildfires in Sonoma, Lake, Mendocino and Napa Counties. The agency began providing these services after devastating fires in Lake County in 2015 and expanded the program significantly after the 2017 firestorms in Napa and Sonoma Counties. DCM assists individual community members in making a full recovery by providing services in collaboration with partnering agencies. DCM provides case management services for locating permanent housing and returning to the pre-disaster housing status.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting and financial statement presentation

The financial statements of Catholic Charities are prepared on the accrual basis of accounting and in conformity with accounting principles generally accepted in the United States of America specific to nonprofit organizations. Catholic Charities's activities and net assets are classified as either net assets without donor restrictions or net assets with donor restrictions according to the terms of the various contributions, grants and bequests and donors' wishes or interests.

- *Net assets without donor restrictions* - Net assets not subject to donor-imposed restrictions and available to support general operations.
- *Net assets with donor restrictions* - Net assets subject to donor-imposed stipulations that will be met by actions of Catholic Charities and/or the passage of time. Net assets with donor restrictions also include the portion of donor-restricted endowment funds and accumulated earnings that are restricted for the passage of time, until such funds are appropriated for expenditure by Catholic Charities, in addition to donor-restricted endowment funds to be held in perpetuity.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Change in accounting principle

In June 2018, the Financial Accounting Standards Board ("FASB") issued Accounting Standards Update ("ASU") 2018-08, Not-for-Profit Entities (Topic 958): Clarifying the Scope and Accounting Guidance for Contributions Received and Contributions Made which clarifies the criteria for evaluating whether a transaction should be accounted for as contribution or as an exchange transaction and whether a contribution is conditional or unconditional. Catholic Charities adopted ASU 2018-08 with a date of the initial application of July 1, 2019, using the modified retrospective method.

The adoption of ASU 2018-08 did not have a significant impact on Catholic Charities' financial position, result of operations, or cash flows. The Organization has evaluated contributions received and contributions made and has determined that there is no change as a result of the adoption of the standard.

Revenue and support

Revenue and support are reported as increases in net assets without donor restrictions unless use of the related assets are limited by donor-imposed restrictions, either for a specific purpose, passage of time or assets to be held in perpetuity. Expirations of purpose or time imposed restrictions on net assets with donor restrictions (i.e., the donor-stipulated purpose has been fulfilled and/or the stipulated time period has elapsed) are reported as a reclassification to net assets without donor restrictions. Expenses are reported as decreases in net assets without donor restrictions. Gains and losses on investments and other assets or liabilities are reported as increases or decreases in net assets without donor restrictions unless their use is restricted by explicit donor stipulation or by law.

Revenue recognition

Revenue, other than from contributions and government grants, is recognized in the period in which the service has been provided and the performance obligation fulfilled. Program services revenue consists primarily of fees for housing, counseling, and immigration services and is recognized as services are performed. Rental income includes rent received from clients at various Catholic Charities housing facilities and is recognized as they are received.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Contributions and promises to give

Contributions, including unconditional promises to give, are recognized as revenue in the period received. Conditional promises to give are not recognized until they become unconditional; that is when the barrier has been overcome and right of release/right of return no longer exists. Contributions of assets other than cash are recorded at their estimated fair value. Contributions that are not expected to be collected until after year-end are considered contributions receivable. Contributions receivable with due dates extending beyond one year are recorded at the present value of their estimated future cash flows. The discount on these amounts is computed using risk adjusted market interest rates applicable to the years in which the promises are received plus an additional risk premium factor. The discount rate used at June 30, 2020 was 5.0%. Amortization of the discount is recorded as additional contribution revenue in accordance with donor-imposed restrictions, if any, on the contributions. Catholic Charities maintains allowances for doubtful accounts based on an assessment of a donor's ability to make pledged payments and the estimated cash realization from amounts due from a donor. The allowances are assessed by management on a regular basis. In addition, management evaluates historical loss experience, financial condition of a donor and current economic conditions that lead to default. These estimates may differ from actual results. If the financial condition of a donor deteriorates in the future, impacting the donor's ability to make payments, an increase to the allowance might be required or the allowance may not be sufficient to cover actual losses.

The Diocese of Santa Rosa raises funds on behalf of Catholic Charities and deposits the funds raised in the Catholic Community Foundation of the Diocese of Santa Rosa until donated to Catholic Charities. As of June 30, 2020, Catholic Charities had a balance held at Catholic Community Foundation of $368,963. This balance is not reflected in the Statement of Financial Position at June 30, 2020.

Contributed goods and services

Donated goods and services consist of food, service and supplies received for distribution to needy families and, donated building facilities and equipment used by Catholic Charities. In-kind contributions are reflected as contributions at their fair value at date of donation and are reported as support without donor restrictions unless explicit donor stipulations specify how donated assets must be used. Contributed services are reflected in the financial statements at the fair value of the services received. The contributions of services are recognized if the services received (a) create or enhance nonfinancial assets or (b) require specialized skills that are provided by individuals possessing those skills and would typically need to be purchased if not provided by donation. Amounts included as components of revenues and expenses for the year ended June 30, 2020 totaled $419,341.

Program services are conducted in part by generous donations of time from volunteers. The value of this contributed time, while important to Catholic Charities, is not reflected in the accompanying financial statements as these services do not meet the recognition criteria.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Government grants

Government grants are generally received under contracts from federal, state, county and city agencies. These contracts are conditioned upon certain performance requirements and/ or the incurrence of allowable qualifying expenses. Amounts received are recognized as revenue when Catholic Charities has incurred expenditures in compliance with specific contract or grant provisions. Catholic Charities has elected a simultaneous release option to account for these grants and contracts and thus are recorded as grants and contracts without donor restriction upon satisfaction of the barriers. Amounts received prior to incurring qualifying expenditures or performing the required services are reported as deferred revenue. Catholic Charities received cost-reimbursable grants of $4,601,730 that have not been recognized at June 30, 2020 because qualifying expenditures have not yet been incurred. There was no advance payments received under these contracts as of June 30, 2020.

Cash and cash equivalents

Cash and cash equivalents consists of all cash on hand and all demand deposits maintained at banking institutions. Catholic Charities maintains cash balances at institutions insured by the Federal Deposit Insurance Corporation (FDIC) up to $250,000.

Investments

Investments are reported at fair value. The fair values of equity securities are determined primarily by quoted prices in active markets. The fair values of fixed income securities are based on quoted market prices when available, or quotes as provided by the fund managers at the valuation date. Pooled investment funds are valued at the net asset value per unit or percentage of ownership as reported by the funds. Due to the inherent uncertainty of valuation of non-marketable investments, those estimated values may differ significantly from the values that would have been used had a ready market for the securities existed, and the differences could be material. Investments received through gifts are recorded at estimated fair value at the date of donation. Gains and losses that result from market fluctuations are recognized in the period such fluctuations occur. Realized gains or losses resulting from sales or maturities represent the difference between the original cost of the investment and the proceeds received from the sale of securities. Dividend and interest income are accrued when earned.

Grants receivable

Grants receivable consist of amounts due from government entities under cost reimbursement agreements. At June 30, 2020, management determined that no allowance for doubtful accounts was required, as all amounts are considered collectible.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Property and equipment

Property and equipment are stated at cost and depreciated or amortized using the straight-line method over estimated useful lives of 3 to 39 years. Contributed property and equipment is recorded at fair value at the date of donation. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used are reported as revenues with donor restrictions. In the absence of donor stipulations, all contributions of property and equipment are recorded as revenues without donor restrictions and depreciated or amortized over the asset's estimated useful life. Catholic Charities capitalizes property and equipment if cost equals or exceeds $5,000.

Accrued compensated absences

Accumulated unpaid employee vacation benefits are recognized as liabilities of Catholic Charities. Sick leave benefits are accumulated for each employee. The employees do not gain a vested right to accumulated sick leave. Accumulated employee sick leave benefits are not recognized as liabilities of Catholic Charities since payment of such benefits is not probable. Therefore, personal leave benefits are recorded as expenses in the period personal leaves are taken.

Reserve for unemployment

Catholic Charities reimburses the State Employment Development Department for all benefits paid to former employees. As of June 30, 2020, there were no reserves recognized for unemployment claims.

Fair value measurements

The guidance for fair value measurements established a framework for measuring fair value, and expands disclosures about fair value measurements. Fair value is defined as the exchange price that would be received for an asset or paid to transfer a liability in the principal or most advantageous market for the assets or liabilities in an orderly transaction between market participants on the measurement date. Subsequent changes in fair value of these financial assets and liabilities are recognized in the change in net assets when they occur.

Accounting standards for fair value measurements includes a fair value hierarchy. Valuation techniques used to measure fair value must maximize the use of observable inputs and minimize the use of unobservable inputs. Observable inputs reflect assumptions market participants would use in pricing an asset or liability based on market data obtained from independent sources while unobservable inputs reflect a reporting entity's pricing based upon their own market assumptions. There have been no changes in valuation techniques for the year ended June 30, 2020.

The fair value hierarchy consists of the following three levels:

- Level 1 - Quoted prices in active markets for identical investments.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Fair value measurements (continued)

- Level 2 - Pricing inputs, including broker quotes, are those other than exchange quoted prices in active markets, are either directly or indirectly observable as of the reporting date for which the fair value is determined through the use of models or other valuation methodologies.
- Level 3 - Pricing inputs are unobservable for the investment and includes situations where there is little, if any, market activity for the investments and may require a high level of judgment to determine the fair value.

Functional expenses

Catholic Charities' costs of providing the various programs and other activities have been summarized on a functional basis by department. Direct costs associated with specific programs are recorded as program expenses. Program expenses may include allocable management and general and fundraising expenses. Expenses for capital projects primarily include personnel and professional service expenses related to Caritas Village that are included in the Statement of Functional Expenses, but capitalized as property and equipment.

Income tax status

Catholic Charities is a tax-exempt, nonprofit corporation under section 501(c)(3) of the Internal Revenue Code and Section 23701(d) of the California Taxation Code. Continuance of such exemption is subject to compliance with regulations and review of the activities by taxing authorities. Catholic Charities is not aware of any transactions that would affect its tax-exempt status.

Catholic Charities has evaluated its current tax positions and has concluded that as of June 30, 2020, Catholic Charities does not have any significant uncertain tax positions for which a liability would be necessary.

Use of estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Summarized comparative information

The financial statements include certain prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with generally accepted accounting principles (GAAP). Accordingly, such information should be read in conjunction with Catholic Charities financial statements as of and for the year ended June 30, 2019, from which the summarized comparative information was derived. Certain reclassifications have been made to the prior year information to conform to the current year presentation.

3. PROMISES TO GIVE

Promises to give consisted of the following:

Amounts due in less than one year	$ 2,708,158
Amounts due in one to five years	934,173
	3,642,331
Less allowance for doubtful accounts	(195,456)
Less discount on long-term promises to give	(77,288)
	$ 3,369,587

4. PROPERTY AND EQUIPMENT

Property and equipment consisted of the following:

Land	$ 2,831,908
Buildings	8,566,296
Land improvements	12,690
Computers and software	35,288
Furniture and fixtures	38,228
Vehicles	251,275
Construction in progress	4,720,052
	16,455,737
Less accumulated depreciation and amortization	(3,154,213)
	$ 13,301,524

Depreciation expense for the year-ended June 30, 2020 was $265,808.

5. INVESTMENTS

Investments consisted of the following:

Equity securities	$ 199,632
Fixed income securities	162,988
U.S. Treasury Bills	6,411,673
Pooled investment funds	92,068
	$ 6,866,361

The following table sets forth by level, within the fair value hierarchy, Catholic Charities' assets at fair value as of June 30, 2020:

	Level 1	Level 2	Level 3	Fair Value
Equity securities	$ 199,632	$ -	$ -	$ 199,632
Fixed income securities	-	162,988	-	162,988
U.S. Treasury Bills	6,411,673	-	-	6,411,673
	$ 6,611,305	$ 162,988	$ -	6,774,293
Investments measured at net asset value*				92,068
				$ 6,866,361

*In accordance with ASU 2015-07, Fair Value Measurement (Topic 820): Disclosures for Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent), pooled investment funds that were measured at net asset value per share have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the line items presented in the statement of financial position.

6. ACCRUED EXPENSES AND OTHER LIABILITIES

Accrued expenses and other liabilities consisted of the following:

Vacation	$ 388,323
Payroll and other payroll related	394,604
Unemployment payable	109,421
Accrued workers compensation	119,218
Insurance payable	116,295
Rent deposits payable	26,056
Accrued construction costs	383,758
Other accrued expenses	76,135
	$ 1,613,810

7. LINE OF CREDIT

Catholic Charities has a line of credit with a bank with a borrowing limit of $800,000 and accrues interest at the bank's prime rate plus one percent. The interest rate as of June 30, 2020 was 4.25%. There was no outstanding balance on the line of credit at June 30, 2020. The line of credit is secured by Catholic Charities' assets including real property and all personal property (tangible and intangible). The line of credit held a maturity date of August 1, 2020 but was renewed in October 2020, extending the maturity date through August 1, 2021.

Catholic Charities also has a line of credit with Catholic Community Foundation, funded by the Diocese of Santa Rosa. There is no maximum borrowing limit on the line of credit, but monies withdrawn must be replaced as soon as is practical, or within one calendar year from the date of borrowing. The line of credit does not bear interest but charges an annual administrative fee of 0.50%. As of June 30, 2020, there was no outstanding balance on the line of credit.

8. PAYCHECK PROTECTION PROGRAM

In April 2020, Catholic Charities received loan proceeds of $2,149,555 from a promissory note issued by Exchange Bank, under the Paycheck Protection Program ("PPP") which was established under the Coronavirus Aid, Relief, and Economic Security ("CARES") Act and is administered by the U.S. Small Business Administration. The term of the loan is two years and the annual interest rate is 1.00%. Payments of principal and interest are deferred for the first six months of the loan. Under the terms of the CARES Act, PPP loan recipients can apply for and be granted forgiveness for all or a portion of the loans granted under PPP. Such forgiveness will be determined based on the use of the loan proceeds for payroll costs, rent and utility expenses and the maintenance of workforce and compensation levels with certain limitations. Catholic Charities believes it has met the PPP's eligibility criteria and has concluded that the PPP loan represents, in substance, a grant that is expected to be forgiven, and accordingly has accounted for the PPP loan as a conditional contribution. Proceeds received under the PPP loan are recognized as revenue when Catholic Charities has incurred expenditures in compliance with the promissory note provisions and when the conditions have been substantially met. For the year ended June 30, 2020, Catholic Charities recognized $1,239,884 in Paycheck Protection Program grant revenue based on qualifying expenditures under the PPP program that are expected to be forgiven. The proceeds from the PPP loan that have not been recognized as revenue as of June 30, 2020 total $909,671 and are reported as a refundable advance liability. These funds are anticipated to be forgiven and recognized as revenue during the next fiscal year as the qualifying expenditures have been incurred.

9. NOTES PAYABLE

Notes payable are detailed as follows:

Note in the amount of $1,100,000 payable to Summit State Bank secured by and used to acquire property for the development of an affordable housing project in Santa Rosa, California for needy individuals and families; entered into in June 2015. Interest only payments accrued starting July 10, 2015 for 36 months at 4.25% interest. The first $100,000 of accrued interest, which was reached in 2018, was applied against an interest reserve and was added to the principle balance of the note. Starting July 10, 2018, interest and principle payments are due monthly for 119 months with an interest rate at the U.S. Treasury securities rate, adjusted to a constant five year maturity plus 3.00%. The note matures June 2028 with a balloon payment for all remaining interest and principle.	$	937,121
Note payable to the Sonoma County Community Development Commission was entered into in May 2018 to use for a portion of planning, design, and other eligible predevelopment costs for Caritas Center, the proposed emergency housing, day center, and services center for homeless households and other extremely-low to low-income households. The note is secured by a Deed of Trust and bears 3% simple interest. The note matures the earlier of (i) the thirtieth (30th) anniversary of the date that the permanent, post-construction financing for the project is closed; or (ii) the thirty-fifth (35th) anniversary of the date of the note.		199,250
Note payable to the Housing Authority of the City of Santa Rosa to acquire and develop an affordable housing project, entered into June 2015. Payments under this note shall only be required to the extent of surplus development costs and 75% of surplus cash from the housing project. The note is secured by land and building and bears 3% simple interest. The note matures in June 2045.		750,000
Note payable to the City of Napa used to acquire housing for needy individuals and families; entered into in February and June 2003. Net positive cash flows from the property, if any, are payable to the City of Napa as an annual payment of interest. The notes are secured by land and buildings. The note bear simple interest of 4% and mature in 2023.		154,287
Note payable to the City of Napa for rehabilitation of housing for needy individuals and families; entered into in June 2009. The note is secured by land and buildings. Payment is due when note matures or to the extent property demonstrates residual annual net cash flow. The note bears simple interest of 4% and matures in 2029.		40,231

9. NOTES PAYABLE (continued)

Notes payable to the County of Napa used to acquire housing for needy individuals and families; entered into in April 2001 and September 2002. Net positive cash flows from the property, if any, are payable to the County of Napa. The notes are secured by land and building and bear 0% interest. The notes mature in 2041 and 2042.	234,500
	2,315,389
	$ 2,315,389

The future maturities of the notes payable are as follows:

Year ending June 30,	
2021	$ 38,745
2022	40,533
2023	42,403
2024	44,360
2025	46,407
Thereafter	2,102,941
	$ 2,315,389

Certain notes of Catholic Charities include covenants. Catholic Charities was in compliance with all covenants as of June 30, 2020, other than certain covenants required on two of the outstanding note balances. In November 2019, the two funding agencies related to the notes for which Catholic Charities was not in compliance provided a waiver of default on the failed covenants as of June 30, 2020.

10. NET ASSETS WITH DONOR RESTRICTIONS

Net assets with donor restrictions consisted of the following:

Restricted for a specific purpose	
Caritas Village development project	$ 3,223,251
Family support center	111,056
Homeless	720,452
Housing	152,866
Immigration	24,291
Community Connections	1,475,802
Fire Relief	468,736
	6,176,454
Restricted for a period of time	
Pledges receivable, net of allowance	3,446,875
Reserve of cash - main office	277,066
Buildings and land, net of related debt, to house needy individuals and families through 2042 - Napa County	619,889
Reserve of cash to house needy individuals and families through 2042 - Napa County	105,707
Accumulated endowment earnings	183,530
Building and land, net of related debt, to house needy individuals and families over buildings useful life - Santa Rosa	92,954
Cash value of life insurance policy for which Catholic Charities is the beneficiary	41,253
	4,767,274
To be held in perpetuity	179,090
	$ 11,122,818

10. NET ASSETS WITH DONOR RESTRICTIONS (continued)

Net assets with donor restrictions released from restriction during the year were as follows:

Purpose restrictions	
Caritas Village	$ 1,679,544
Family Support Center	571,173
Homeless	405,671
Housing	177,634
Immigration	320,951
Community Connections	1,597,537
Senior Services	13,104
Fire Relief	1,008,416
Other	12,393
	5,786,423
Hope Works Wonders - pledges	344,190
Reserve of cash - main office	12,690
Building and land, net of related debt, to house needy individuals and families over buildings useful life - Napa County	76,088
Building and land, net of related debt, to house needy individuals and families over buildings useful life - Santa Rosa	7,253
Cash value of life insurance policy for which Catholic Charities is the beneficiary	1,429
	$ 6,228,073

The Caritas Village development project included in net assets with donor restrictions represents contributions received for the acquisition and development of the property, which is to be used for a homeless shelter, affordable housing and administrative facilities.

Buildings and land used to house needy individuals and families are included in net assets with donor restrictions because either the local governments that contributed financially towards the property acquisitions have stipulated that these properties be used to house needy individuals and families through 2042 or the donors stipulated that the buildings be used over their useful lives to provide housing for needy individuals and families.

Catholic Charities has received conditional contributions totaling $7,000,000, restricted for the Caritas Village project. During 2018, Catholic Charities recognized $1,500,000 of the contributions upon satisfaction of certain terms of the agreements. The remaining $5,500,000 has not been recognized as the funds are conditional upon Catholic Charities meeting certain specified stipulations which had not been satisfied as of June 30, 2020. Catholic Charities received $3,500,000 of the remaining $5,500,000 in funding which is reported as deferred revenue as of June 30, 2020.

11. ENDOWMENT

Catholic Charities' endowment totaling $179,090 consists of donor-restricted endowment funds. The balance of the endowment is recorded as part of investments on the Statement of Financial Position. All income earned on the endowment fund investment is treated as restricted and used from time to time to fund restricted activities.

Interpretation of relevant law

The Board of Directors of Catholic Charities has interpreted the California enacted version of the Uniform Prudent Management of Institutional Funds Act ("UPMIFA") as allowing Catholic Charities to appropriate for expenditure or accumulate so much of an endowment fund as the Catholic Charities determines is prudent for the uses, benefits, purposes and duration for which the endowment fund is established, subject to the intent of the donor as expressed in the gift instrument. Unless stated otherwise in the gift instrument, the assets in an endowment fund shall be donor-restricted assets until appropriated for expenditure by the Board of Directors. The remaining portion of the donor-restricted endowment fund that is not restricted in perpetuity is restricted for the passage of time, until those amounts are appropriated for expenditure by Catholic Charities in a manner consistent with the standard of prudence prescribed by UPMIFA.

In accordance with UPMIFA, the Board of Directors considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

(1) The duration and preservation of the fund

(2) The purposes of Catholic Charities and the donor-restricted endowment fund

(3) General economic conditions

(4) The possible effect of inflation and deflation

(5) The expected total return from income and the appreciation of investments

(6) Other resources of Catholic Charities

(7) The investment policies of Catholic Charities

Spending policy

Each year up to 2.21% of the investment balance (calculated on a twelve quarter rolling average of the market value) will be made available for appropriation. Catholic Charities objective is to maintain the original fair value of the endowment assets held in perpetuity as well as to provide additional real growth through new gifts and investment return.

Funds with deficiencies

From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level that the donor or UPMIFA requires Catholic Charities to retain as a fund of perpetual duration. There were no such deficiencies as of June 30, 2020.

11. ENDOWMENT (continued)

Investment policy, strategies, and objectives

Catholic Charities has adopted an investment policy for endowment assets that attempts to maximize total return consistent with an acceptable level of risk. Under this policy, as approved by the Finance Committee of the Board, the endowment assets are invested in a manner that is intended to produce results that achieve price and yield results commensurate with assuming a moderate level of investment risk. Catholic Charities expects its endowment funds, over time, to provide an average rate of return of approximately 5% percent annually. Actual returns in any given year may vary from this amount.

To satisfy its long-term rate-of-return objectives, Catholic Charities relies on a total return in which investment returns are achieved through both capital appreciation and current yield. Catholic Charities targets a diversified asset allocation that helps to achieve its long-term objectives within prudent risk constraints.

Endowment composition

Endowment net asset composition by type of fund as of June 30, 2020 is as follows:

	Without Donor Restrictions	Original Gift Amount	Accumulated Gains (Losses) and Other	Total
Donor-restricted endowment funds	$ -	$ 179,090	$ 183,530	$ 362,620

Changes in endowment net assets for the fiscal year ended June 30, 2020 is as follows:

	Without Donor Restrictions	With Donor Restrictions	Total
Balance, June 30, 2019	$ -	$ 352,325	$ 352,325
Investment return			
Interest and dividend income	-	6,442	6,442
Net appreciation (realized and unrealized)	-	3,853	3,853
Balance, June 30, 2020	$ -	$ 362,620	$ 362,620

12. PENSION PLAN

Catholic Charities is a participant in the Diocese of Santa Rosa Lay Defined Benefit Plan, a multi-employer pension plan (the "MEP Plan") which was frozen on June 30, 2014. Contribution requirements and liabilities are calculated in total on behalf of all plan participants. Contributions for each participating employer are based on an allocation of liability at freeze date. Catholic Charities was required to fund 8% of the total annual contributions for the year ended June 30, 2020. Multi-employer plan costs to Catholic Charities amounted to $262,035 for the year ended June 30, 2020.

Catholic Charities was notified that the funded status of the MEP Plan was below its target liability. To help cover the shortfall, for the year ended June 30, 2020, participating employers were required to make a contribution equal to 3% of total gross wages for all active employees working 20 or more hours per week. The MEP Plan is also exploring alternative sources of funding and contribution levels to mitigate any further risk.

The following information is based on the MEP Plan actuarial valuation as of June 30, 2020:

Total fair value of plan assets	$32,071,000
Actuarial present value of accumulated plan benefits	$56,085,000
Indicated level of funding	57.2%

Plan information for the MEP Plan is not publicly available. Catholic Charities is unable to provide additional quantitative information without undue cost and effort.

On July 1, 2014, Catholic Charities joined the Diocese defined contribution retirement plan (the "Plan"). Catholic Charities will contribute 5.50% of each eligible employee's annual compensation to the defined contribution retirement plan. Employee's that meet certain age and service criteria will receive additional employer contributions as a transition benefit. Employer contributions to the Plan for the year ended June 30, 2020 were $323,499.

13. COMMITMENTS AND CONTINGENCIES

Concentration

- *Revenue, support and receivables* - Catholic Charities is dependent on grants from the U.S. Departments of Housing and Urban Development, Homeland Security, Health and Human Services, and Agriculture. If the level of these grants and support varies, there may be an adverse effect upon the level of types of activities and program services offered by Catholic Charities. For the year ended June 30, 2020, 32% of government grants revenue was from either direct or indirect awards received from those departments. In addition, approximately 80% of grants receivable at June 30, 2020 were due from four grantors, including three government entities and one non-governmental entity.

13. COMMITMENTS AND CONTINGENCIES (continued)

Concentration (continued)

- *Investments* - Catholic Charities' credit risk is inherent principally in its investments. Credit risk is limited by diversifying Catholic Charities' investments among a variety of high quality financial institutions, and the composition and maturities are regularly monitored by management. The maximum loss on the investments would be the carrying amount in the financial statements, less amounts insured by the Securities Investor Protection Corporation (SIPC). Balances may periodically exceed SIPC limits.

Restrictions on real properties

Certain loan and grant agreements with governmental agencies impose restrictions on the operations of the properties owned by Catholic Charities, including maximum tenant income limitations, maximum rents chargeable and the tenants' history of homelessness. Such tenant qualifications are monitored by Catholic Charities on an ongoing basis. If such agreements and qualifications are not met, related loans and revenue received could become payable to the agencies.

Catholic Charities real properties are subject to liens by lenders or grantors who provided funding for the acquisition or development of the properties. None of these properties may be sold or hypothecated without the consent of the secured parties.

Grants and contracts

Grants and contracts awarded to Catholic Charities are subject to the funding agencies' criteria, contract terms and regulations under which expenditures may be charged and are subject to audit under such terms, regulations and criteria. Occasionally such audits may determine that certain costs incurred against the grants do not comply with the established criteria that govern them. In such cases, Catholic Charities could be held responsible for repayments to the funding agency for the costs or be subject to the reductions of future funding in the amount of the costs.

Forgivable loans

During the year ended June 30, 2020, a forgivable loan in the amount of $81,241, along with accrued interest of $20,650, was forgiven and has been recorded in private grant and contribution revenue in the accompanying statement of activities upon successfully fulfilling the conditions on the loan. This loan was to be forgiven if Catholic Charities complied with certain terms and conditions of the loan throughout the loan term. These conditions included, but were not limited to, the continued use of the property as emergency shelters, transitional housing, or other housing properties for needy individuals and families. Catholic Charities received notice in September 2019 that the loan was reconveyed and forgiven upon successfully completing the terms of the agreement.

13. COMMITMENTS AND CONTINGENCIES (continued)

Litigation

Catholic Charities is a party to certain claims in the normal course of operation. While the results of these claims cannot be predicted with certainty, management believes that the final outcome of these matters will not have a material adverse effect on the financial statements.

Operating leases

Catholic Charities leases commercial space and equipment under operating lease agreements which expire on varying dates through December 2025. Rent expense for the year amounted to $1,006,337.

The scheduled minimum lease payments under the lease terms are as follows:

Year ending June 30,	
2021	$ 648,898
2022	595,939
2023	580,509
2024	580,509
2025	281,583
	$ 2,687,438

14. LIQUIDITY

As part of Catholic Charities's liquidity management, it has a policy to structure its financial assets to be available as its general expenditures, liabilities, and other obligations come due.

As part of this policy, Catholic Charities strives to hold in its investment account a balance of securities equal to at least the balance of net assets with donor restrictions that can be readily liquidated to fulfill grantors obligations.

Cash and cash equivalents include $277,066 designated internally for long term capital replacement at Airway Building planned for the roof and HVAC system, and $105,707 which is restricted by Napa County Housing Authorities through 2042 for capital improvements on the building loan and will not be available in the upcoming year.

Investments include endowment funds consisting of donor-restricted endowments of $179,090 and income from endowments of $183,530 that is available to use for specific programs. No funds from the endowment funds have been drawn as of June 30, 2020.

14. LIQUIDITY (continued)

Catholic Charities does not have any long-term investments. All U.S. Treasury Bills are redeemable after 3 months and could be liquidated within one month from each other. There are certain limitations on the availability of investment funds which are restricted to certain activities designated by funders.

Catholic Charities received $3,500,000 during 2019 for the Caritas Village project. These funds and earnings from the investments are currently restricted for use and will only be available to support the project once certain conditions are met to recognize the funds.

Prepaid expenses and and other assets of approximately $301,000 are not readily available to be converted into cash.

Short-term promises to give consist of unconditional promises to give expected to be received within one year from June 30, 2020. The Organization is currently in a capital campaign raising funds to build the new program site Caritas Village (see Note 1) which are not available for general operations. Short-term promises to give not subject to donor-restrictions will be available to support general operations of Catholic Charities.

The Organization has a line of credit available for use. The balance available at June 30, 2020 is $800,000.

The following is a quantitative disclosure which describes assets that are available within one year of June 30, 2020 to fund general expenditures and other obligations as they become due:

Financial assets:	
Cash and cash equivalents	$ 4,116,825
Investments	6,866,361
Grants receivable	2,852,529
Promises to give, net	3,369,587
	17,205,302
Less: amounts unavailable for general expenditure within one year:	
Donor-imposed restrictions for a specified purpose	(6,176,454)
Donor-imposed restrictions for a specified time (excluding pledges receivable to be collected in one year)	(2,059,116)
Donor-imposed restrictions to be held in perpetuity	(179,090)
Deferred restricted conditional contributions	(3,500,000)
Designated capital replacement reserves	(277,066)
	(12,191,726)
	$ 5,013,576

15. RISKS AND UNCERTAINTIES

On March 11, 2020, the World Health Organization declared a novel strain of coronavirus ("COVID-19") a global pandemic and recommended containment and mitigation measures worldwide. The COVID-19 outbreak in the United States has caused business disruption through mandated and voluntary closings of businesses and shelter in place orders, including California, where Catholic Charities' is headquartered. In response, the U.S. Government enacted the CARES Act, which includes significant provisions to provide relief and assistance to affected organizations. As a qualifying 501(c)(3) organization, the Organization received a PPP loan through the CARES Act (see Note 8).

Impacts to Catholic Charities' operations include disruptions and restrictions on employees' ability to work and fluctuations in investment balances due to the effect of the pandemic on the financial markets. While the disruption from COVID-19 is currently expected to be temporary, there is considerable uncertainty around the duration of the closings and shelter in place orders and the ultimate financial impact. It is at least reasonably possible that this matter will negatively impact Catholic Charities, however, the financial impact and duration cannot be reasonably estimated at this time.

16. SUBSEQUENT EVENTS

On February 3, 2021, Catholic Charities received loan proceeds of $2,000,000 from a promissory note issued by Exchange Bank, under the PPP established by the CARES Act. This represents Catholic Charities' second loan under the PPP. The term of the loan is five years and the annual interest rate is 1.00%. Payments of principal and interest are deferred up to the first ten months of the loan. Under the terms of the CARES Act, PPP loan recipients can apply for and be granted forgiveness for all or a portion of the loans granted under PPP. Such forgiveness will be determined based on the use of the loan proceeds.

Catholic Charities has evaluated subsequent events through March 3, 2021, the date the financial statements were available to be issued. Other than as described above, no subsequent events have occurred that would have a material impact on the presentation of Catholic Charities' financial statements.

SINGLE AUDIT REPORTS AND SCHEDULES

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INDEPENDENT AUDITOR'S 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*

Board of Directors
Catholic Charities of the Diocese of Santa Rosa
Santa Rosa, 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 Catholic Charities of the Diocese of Santa Rosa (a California nonprofit corporation) ("Catholic Charities"), which comprise the statement of financial position as of June 30, 2020, and the related statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated March 3, 2021.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered Catholic Charities'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 opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Catholic Charities's internal control. Accordingly, we do not express an opinion on the effectiveness of Catholic Charities'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.

We did identify one deficiency in internal control, described in the accompanying schedule of findings and questioned costs that we consider to be a material weakness listed as item 2020-001.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Catholic Charities'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*.

Catholic Charities's Response to Findings

Catholic Charities's response to the finding identified in our audit is described in the accompanying schedule of findings and prior year findings. Catholic Charities's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

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 Catholic Charities's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Catholic Charities's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Armanino LLP

Armanino LLP
San Francisco, California

March 3, 2021

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

Board of Directors
Catholic Charities of the Diocese of Santa Rosa
Santa Rosa, California

Report on Compliance for Each Major Federal Program

We have audited Catholic Charities of the Diocese of Santa Rosa (a California nonprofit corporation) ("Catholic Charities")'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 Catholic Charities's major federal programs for the year ended June 30, 2020. Catholic Charities's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of Catholic Charities'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* (the "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 Catholic Charities'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 Catholic Charities's compliance.

Opinion on Each Major Federal Program

In our opinion, Catholic Charities 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, 2020.

Report on Internal Control Over Compliance

Management of Catholic Charities 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 Catholic Charities'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 Catholic Charities'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 weakness 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.

Armanino LLP

Armanino LLP
San Francisco, California

March 3, 2021

Catholic Charities of the Diocese of Santa Rosa
Schedule of Expenditures of Federal Awards
For the Year Ended June 30, 2020

Federal Grantor/Pass-Through Grantor/ Program or Cluster Title	Federal CFDA Number	Pass-Through Entity Identifying Number	Total Federal Expenditures	Passed Through to Subrecipients
Expenditures of Federal Awards				
U.S. Department of Education				
Pass-through program from:				
State of California				
Adult Education and Family Literacy Act	84.002A	V002A190005	$ 18,965	$ -
Total U.S. Department of Education			18,965	-
U.S. Department of Health and Human Services				
Pass-through programs from:				
Sonoma County Human Services Department				
Special Programs for the Aging Title III, Part B, Grants for Supportive Services and Senior Centers	93.044	AA-CCSR-ADCT-1920	102,658	-
Total U.S. Department of Health and Human Services			102,658	-
Department of Housing and Urban Development				
Direct awards				
Supportive Housing Program	14.235		585,823	-
Pass-through programs from:				
City of Santa Rosa				-
Community Development Block Grant	14.218		298,980	-
City of Napa				-
Community Development Block Grant	14.218	C2019-309	7,012	-
County of Sonoma (Sonoma County Community Development Commission)				-
Continuum of Care Program	14.267	CA164L9T041801	381,106	44,496
County of Napa				-
Mortgages Insurance for Single Room Occupancy Projects	14.184	190156B	69,000	-
Catholic Charities USA				-
Housing Counseling Assistance Program	14.169	HC170011012, HC190011024	33,790	-
Total Department of Housing and Urban Development			1,375,711	44,496
Department of Agriculture				
Pass-through programs from:				
Catholic Charities of California, Inc.				
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	10.561	18-3058; 17-7007; 17-7007A-2	491,816	-
State of California				-
Child and Adult Care Food Program	10.558	49-3016-OH	39,621	-
Total Department of Agriculture			531,437	-
U.S. Department of Homeland Security				
Direct awards				
USCSIS Citizenship and Integration Grant	97.010		41,384	-
Emergency Food and Shelter Program	97.024		8,000	-

The accompanying notes to the Schedule of Expenditures of Federal Awards are an integral part of this schedule.

Catholic Charities of the Diocese of Santa Rosa
Schedule of Expenditures of Federal Awards
For the Year Ended June 30, 2020

Federal Grantor/Pass-Through Grantor/ Program or Cluster Title	Federal CFDA Number	Pass-Through Entity Identifying Number	Total Federal Expenditures	Passed Through to Subrecipients
			49,384	-
Pass-through programs from:				
Catholic Charities of California, Inc.				
Disaster Case Management	97.088	17-STD-7020	590,325	144,549
Disaster Case Management	97.088	18-STD-7021	114,441	-
United Way				-
Emergency Food and Shelter Program	97.024	32090800-013	18,200	-
County of Sonoma (Sonoma County Community Development Commission)			-	-
Disaster Grants - Public Assistance (Presidentially Declared Disasters)	97.036		29,000	-
Total U.S. Department of Homeland Security			801,350	144,549
U.S. Department of the Treasury				
Pass-through programs from:				
United Way				-
Volunteer Income Tax Assistance (VITA) Coalition Program	21.009		20,000	-
Total U.S. Department of the Treasury			20,000	-
U.S. Department of Veterans Affairs				
Direct awards				
Adult Day Health Care Program	64.026		115,729	-
VA Homeless Providers Grant and Per Diem Program	64.024		77,812	-
Total U.S. Department of Veterans Affairs			193,541	-
U.S. Department of Transportation				
Pass-through programs from:				
County of Sonoma (Sonoma County Human Services Department)				-
Enhanced Mobility of Seniors and Individuals with Disabilities	20.513	AA-CCSR-5310-1820	30,391	-
Total U.S. Department of Transportation			30,391	-
U.S. Department of Justice				
Pass-through program from				
Family Justice Center Sonoma County				
Encourage Arrest Policies and Enforcement of Protection Orders Program	16.590		9,283	-
Pass-through program from County of Sonoma:				
Crime Victim Assistance	16.582		11,706	-
Total U.S. Department of Justice			20,989	-
Corporation for National and Community Service				
Pass-through programs from:				
Catholic Charities USA				
AmeriCorps	94.006	19DHVA001	7,352	-

The accompanying notes to the Schedule of Expenditures of Federal Awards
are an integral part of this schedule.

Catholic Charities of the Diocese of Santa Rosa
Schedule of Expenditures of Federal Awards
For the Year Ended June 30, 2020

Federal Grantor/Pass-Through Grantor/ Program or Cluster Title	Federal CFDA Number	Pass-Through Entity Identifying Number	Total Federal Expenditures	Passed Through to Subrecipients
Total Corporation for National and Community Service			7,352	-
Total Expenditures of Federal Awards			$ 3,102,394	$ 189,045

The accompanying notes to the Schedule of Expenditures of Federal Awards are an integral part of this schedule.

Catholic Charities of the Diocese of Santa Rosa
Notes to Schedule of Expenditures of Federal Awards
June 30, 2020

1. BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards (the "Schedule") includes the federal award activity of Catholic Charities of the Diocese of Santa Rosa ("Catholic Charities") under programs of the federal government for the year ended June 30, 2020. The information in this Schedule is presented in accordance with the 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). Because the Schedule presents only a selected portion of the operations of Catholic Charities, it is not intended to and does not present the financial position, changes in net assets, or cash flows of Catholic Charities.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or limited as to reimbursement. Pass-through entity identifying numbers are presented where available and applicable.

3. INDIRECT COST RATE

Catholic Charities has elected to not use the 10% de minimus indirect cost rate for federal awards. Catholic Charities applies indirect costs in accordance with the specific terms of its federal award agreements.

Catholic Charities of the Diocese of Santa Rosa
Schedule of Findings and Questioned Costs
For the Year Ended June 30, 2020

SECTION I - SUMMARY OF AUDITOR'S RESULTS

Financial Statements

Type of auditor's report issued:	Unmodified
Internal control over financial reporting:	
Material weakness(es) identified?	Yes
Significant deficiency(ies) identified that are not considered to be material weaknesses?	None reported
Noncompliance material to financial statements noted?	No

Federal Awards

Internal control over major programs:	
Material weakness(es) identified?	No
Significant deficiency(ies) identified that are not considered to be material weaknesses?	None reported
Type of auditor's report issued on compliance for major programs:	Unmodified
Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a)?	No
Identification of major programs:	

Name of Federal Program or Cluster	CFDA Number
Supportive Housing Program	14.235
Disaster Case Management	97.088

Dollar threshold used to distinguish between Type A and Type B programs	$750,000
Auditee qualified as low-risk auditee?	No

Catholic Charities of the Diocese of Santa Rosa
Schedule of Findings and Questioned Costs
For the Year Ended June 30, 2020

SECTION II - SUMMARY OF FINANCIAL STATEMENT FINDINGS

Finding number:	**2020-001 Contribution Revenue Recognition**
Criteria:	Contributions, including unconditional promises to give, are recognized as revenue in the period received.
Condition:	The Organization did not recognize $1,000,000 related to an unconditional, purpose restricted contribution that was received in June 2020.
Cause:	The accounting and finance department of the Organization recorded the contribution when the cash was received in August 2020 and was not aware that the development department had previously received notification of the contribution from the donor in June 2020.
Effect or potential effect:	The Organization understated its contribution revenue and promises to give receivable by $1,000,000.
Recommendation:	We recommend management develop a comprehensive revenue recognition policy to ensure the proper recognition of contributions in accordance with GAAP. We recommend that this policy be distributed to both the development and accounting staff to ensure both departments understand the criteria for revenue recognition. The policy should include a detailed review of all contribution and grant agreements that allow for the identification of donor restrictions, conditions, and timing of revenue recognition. We also recommend that development and accounting meet on a periodic basis to ensure all contributions and promises to give that are received by development are communicated to accounting on a timely basis.
Views of Responsible Officials:	Management agrees with the finding.

SECTION III - SUMMARY OF FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

There are no federal award findings to be reported.

Catholic Charities of the Diocese of Santa Rosa
Summary Schedule of Prior Audit Findings
For the Year Ended June 30, 2020

There were no prior year findings.

Print Form | Reset Form

STATE OF CALIFORNIA – DEPARTMENT OF FINANCE
PAYEE DATA RECORD
(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)
STD 204 (Rev. 03/2021)

Section 1 – Payee Information

NAME (This is required. Do not leave this line blank. Must match the payee's federal tax return)
Catholic Charities of the Diocese of Santa Rosa

BUSINESS NAME, DBA NAME or DISREGARDED SINGLE MEMBER LLC NAME (If different from above)

MAILING ADDRESS (number, street, apt. or suite no.) (See instructions on Page 2)
987 Airway Court

CITY, STATE, ZIP CODE	E-MAIL ADDRESS
Santa Rosa, CA 95403	srcharities.org

Section 2 – Entity Type

Check one (1) box only that matches the entity type of the Payee listed in Section 1 above. (See instructions on page 2)

- ☐ **SOLE PROPRIETOR / INDIVIDUAL**
- ☐ **SINGLE MEMBER LLC** *Disregarded Entity owned by an individual*
- ☐ **PARTNERSHIP**
- ☐ **ESTATE OR TRUST**

CORPORATION (see instructions on page 2)
- ☐ **MEDICAL** *(e.g., dentistry, chiropractic, etc.)*
- ☐ **LEGAL** *(e.g., attorney services)*
- ☑ **EXEMPT** *(e.g., nonprofit)*
- ☐ **ALL OTHERS**

Section 3 – Tax Identification Number

Enter your Tax Identification Number (TIN) in the appropriate box. The TIN must **match** the name given in Section 1 of this form. Do not provide more than one (1) TIN. The TIN is a 9-digit number. **Note:** Payment will not be processed without a TIN.

- For **Individuals**, enter SSN.
- If you are a **Resident Alien**, and you do not have and are not eligible to get an SSN, enter your ITIN.
- Grantor Trusts (such as a Revocable Living Trust while the grantors are alive) may not have a separate FEIN. Those trusts must enter the individual grantor's SSN.
- For **Sole Proprietor or Single Member LLC (disregarded entity), in which the sole member is an individual**, enter SSN (ITIN if applicable) or FEIN (FTB prefers SSN).
- For **Single Member LLC (disregarded entity), in which the sole member is a business entity**, enter the owner entity's FEIN. Do not use the disregarded entity's FEIN.
- For all other entities including LLC that is taxed as a corporation or partnership, estates/trusts (with FEINs), enter the entity's FEIN.

Social Security Number (SSN) or Individual Tax Identification Number (ITIN)

___ ___ ___ - ___ ___ - ___ ___ ___ ___

OR

Federal Employer Identification Number (FEIN)

9 4 - 2 4 7 9 3 9 3

Section 4 – Payee Residency Status (See instructions)

☑ **CALIFORNIA RESIDENT** – Qualified to do business in California or maintains a permanent place of business in California.

☐ **CALIFORNIA NONRESIDENT** – Payments to nonresidents for services may be subject to state income tax withholding.

☐No services performed in California
☐Copy of Franchise Tax Board waiver of state withholding is attached.

Section 5 – Certification

I hereby certify under penalty of perjury that the information provided on this document is true and correct. Should my residency status change, I will promptly notify the state agency below.

NAME OF AUTHORIZED PAYEE REPRESENTATIVE	TITLE	E-MAIL ADDRESS
Len Marabella	Chief Executive Officer	lmarabella@srcharities.org

SIGNATURE	DATE	TELEPHONE (include area code)
		707-528-8712

Section 6 – Paying State Agency

Please return completed form to:

STATE AGENCY/DEPARTMENT OFFICE	UNIT/SECTION
CA Dept of HCD	CDBG DR Housing Counseling (ReCover CA)

MAILING ADDRESS	FAX	TELEPHONE (include area code)
2020 W. El Camino Ave, Suite 500		916-263-2771

CITY	STATE	ZIP CODE	E-MAIL ADDRESS
Sacramento	CA	95833	DR-HousingCounseling@hcd.ca.gov

STATE OF CALIFORNIA – DEPARTMENT OF FINANCE

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 03/2021)

GENERAL INSTRUCTIONS

Type or print the information on the Payee Data Record, STD 204 form. Sign, date, and return to the state agency/department office address shown in Section 6. Prompt return of this fully completed form will prevent delays when processing payments.

Information provided in this form will be used by California state agencies/departments to prepare Information Returns (Form1099).
NOTE: Completion of this form is optional for Government entities, i.e. federal, state, local, and special districts.

A completed Payee Data Record, STD 204 form, is required for all payees (non-governmental entities or individuals) entering into a transaction that may lead to a payment from the state. Each state agency requires a completed, signed, and dated STD 204 on file; therefore, it is possible for you to receive this form from multiple state agencies with which you do business.

Payees who do not wish to complete the STD 204 may elect not to do business with the state. If the payee does not complete the STD 204 and the required payee data is not otherwise provided, payment may be reduced for federal and state backup withholding. Amounts reported on Information Returns (Form 1099) are in accordance with the Internal Revenue Code (IRC) and the California Revenue and Taxation Code (R&TC).

Section 1 – Payee Information

Name – Enter the name that appears on the payee's federal tax return. The name provided shall be the tax liable party and is subject to IRS TIN matching (when applicable).

- Sole Proprietor/Individual/Revocable Trusts – enter the name shown on your federal tax return.
- Single Member Limited Liability Companies (LLCs) that is disregarded as an entity separate from its owner for federal tax purposes - enter the name of the individual or business entity that is tax liable for the business in section 1. Enter the DBA, LLC name, trade, or fictitious name under Business Name.
- Note: for the State of California tax purposes, a Single Member LLC is not disregarded from its owner, even if they may be disregarded at the Federal level.
- Partnerships, Estates/Trusts, or Corporations – enter the entity name as shown on the entity's federal tax return. The name provided in Section 1 must match to the TIN provided in section 3. Enter any DBA, trade, or fictitious business names under Business Name.

Business Name – Enter the business name, DBA name, trade or fictitious name, or disregarded LLC name.
Mailing Address – The mailing address is the address where the payee will receive information returns. Use form STD 205, Payee Data Record Supplement to provide a remittance address if different from the mailing address for information returns, or make subsequent changes to the remittance address.

Section 2 – Entity Type

If the Payee in Section 1 is a(n)…	THEN Select the Box for…
Individual ● Sole Proprietorship ● Grantor (Revocable Living) Trust disregarded for federal tax purposes	Sole Proprietor/Individual
Limited Liability Company (LLC) owned by an individual and is disregarded for federal tax purposes	Single Member LLC-owned by an individual
Partnerships ● Limited Liability Partnerships (LLP) ● and, LLC treated as a Partnership	Partnerships
Estate ● Trust (other than disregarded Grantor Trust)	Estate or Trust
Corporation that is medical in nature (e.g., medical and healthcare services, physician care, nursery care, dentistry, etc. ● LLC that is to be taxed like a Corporation and is medical in nature	Corporation-Medical
Corporation that is legal in nature (e.g., services of attorneys, arbitrators, notary publics involving legal or law related matters, etc.) ● LLC that is to be taxed like a Corporation and is legal in nature	Corporation-Legal
Corporation that qualifies for an Exempt status, including 501(c) 3 and domestic non-profit corporations.	Corporation-Exempt
Corporation that does not meet the qualifications of any of the other corporation types listed above ● LLC that is to be taxed as a Corporation and does not meet any of the other corporation types listed above	Corporation-All Other

Section 3 – Tax Identification Number

The State of California requires that all parties entering into business transactions that may lead to payment(s) from the state provide their Taxpayer Identification Number (TIN). The TIN is required by R&TC sections 18646 and 18661 to facilitate tax compliance enforcement activities and preparation of Form 1099 and other information returns as required by the IRC section 6109(a) and R&TC section 18662 and its regulations.

Section 4 – Payee Residency Status

Are you a California resident or nonresident?

- A corporation will be defined as a "resident" if it has a permanent place of business in California or is qualified through the Secretary of State to do business in California.
- A partnership is considered a resident partnership if it has a permanent place of business in California.
- An estate is a resident if the decedent was a California resident at time of death.
- A trust is a resident if at least one trustee is a California resident.
  - For individuals and sole proprietors, the term "resident" includes every individual who is in California for other than a temporary or transitory purpose and any individual domiciled in California who is absent for a temporary or transitory purpose. Generally, an individual who comes to California for a purpose that will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident.

For information on Nonresident Withholding, contact the Franchise Tax Board at the numbers listed below:

Withholding Services and Compliance Section: 1-888-792-4900 E-mail address: wscs.gen@ftb.ca.gov
For hearing impaired with TDD, call: 1-800-822-6268 Website: www.ftb.ca.gov

Section 5 – Certification

Provide the name, title, email address, signature, and telephone number of individual completing this form and date completed. In the event that a SSN or ITIN is provided, the individual identified as the tax liable party must certify the form. Note: the signee may differ from the tax liable party in this situation if the signee can provide a power of attorney documented for the individual.

Section 6 – Paying State Agency

This section must be completed by the state agency/department requesting the STD 204.

Privacy Statement

Section 7(b) of the Privacy Act of 1974 (Public Law 93-579) requires that any federal, state, or local governmental agency, which requests an individual to disclose their social security account number, shall inform that individual whether that disclosure is mandatory or voluntary, by which statutory or other authority such number is solicited, and what uses will be made of it. It is mandatory to furnish the information requested. Federal law requires that payment for which the requested information is not provided is subject to federal backup withholding and state law imposes noncompliance penalties of up to $20,000. You have the right to access records containing your personal information, such as your SSN. To exercise that right, please contact the business services unit or the accounts payable unit of the state agency(ies) with which you transact that business.

All questions should be referred to the requesting state agency listed on the bottom front of this form.

A434410

State of California
OFFICE OF THE SECRETARY OF STATE

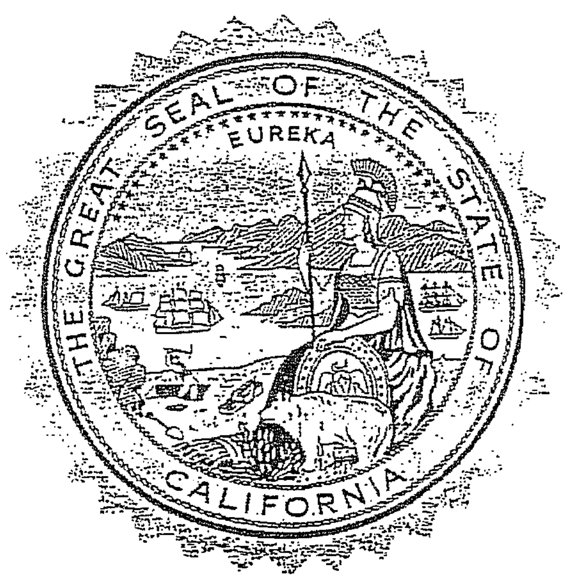
CORPORATION DIVISION

I, *MARCH FONG EU*, Secretary of State of the State of California, hereby certify:

That the annexed transcript has been compared with the corporate record on file in this office, of which it purports to be a copy, and that same is full, true and correct.

IN WITNESS WHEREOF, I execute this certificate and affix the Great Seal of the State of California this

JUL 19 1993



March Fong Eu

Secretary of State

SEC/STATE FORM CE-107

86 40556

A494410

CERTIFICATE OF AMENDMENT

OF

ARTICLES OF INCORPORATION

OF

CATHOLIC CHARITIES OF

THE DIOCESE OF SANTA ROSA

ENDORSED
FILED
In the office of the Secretary of State
of the State of California

JUL 16 1993

MARCH FONG EU, Secretary of State

G. PATRICK ZIEMANN and JAMES E. PULSKAMP certify:

1. That we are the President and Secretary, respectively, of Catholic Charities of the Diocese of Santa Rosa, a California public benefit corporation.

2. On March 5, 1993, a meeting of the Board of Directors of Catholic Charities of the Diocese Santa Rosa was duly held at the corporate headquarters, in the city of Santa Rosa, county of Sonoma, state of California. At the meeting the following resolution was adopted:

"Resolved that Article V of the Articles of Incorporation of Catholic Charities of the Diocese of Santa Rosa be amended to read as follows:

"ARTICLE V

Directors

(a) The number of directors of this corporation shall be no more than twenty (20) and no less than ten (10). The directors shall serve as such without compensation.

(b) The qualifications, selections and tenure of directors shall be as set forth in the bylaws of this corporation."

The said resolution amending the Articles of Incorporation was approved by the sole member of the corporation, G. Patrick Ziemann, the incumbent Roman Catholic Bishop of the Diocese of Santa Rosa.

Dated: MAY 26, 1993

+G. Patrick Ziemann

G. PATRICK ZIEMANN, President
of the Corporation

James E. Pulskamp

JAMES E. PULSKAMP, Secretary
of the Corporation

DECLARATION UNDER PENALTY OF PERJURY

Each of the undersigned declares under penalty of perjury that the matter, set forth in the above certificate are true and correct.

Executed on MAY 26, 1993 in the City of Santa Rosa, County of Sonoma, State of California.

G. Patrick Ziemann

G. PATRICK ZIEMANN, President
of the Corporation

James E. Pulskamp

JAMES E. PULSKAMP, Secretary
of the Corporation

0970874

A396327

FILED
In the office of the Secretary of State
of the State of California

DEC 11 1990

MARCH FONG EU, Secretary of State

CERTIFICATE OF AMENDMENT

OF

ARTICLES OF INCORPORATION

OF

CATHOLIC CHARITIES OF

THE DIOCESE OF SANTA ROSA

JOHN T. STEINBOCK and THOMAS J. KEYS certify:

1. That we are the President and the Chief Financial Officer/Secretary respectively of Catholic Charities of the Diocese of Santa Rosa, a California public benefit corporation.

2. That the Articles of Incorporation of Catholic Charities of the Diocese of Santa Rosa shall be amended as follows:

Article V shall be amended to read as follows:

"ARTICLE V

Directors

(a) The number of directors of this corporation shall be no more than fifteen (15) and no less than ten (10).

The directors shall serve as such without compensation.

(b) The qualifications, selections and tenure of directors shall be as set forth in the bylaws of this corporation."

Article VI shall be amended to read as follows:

"ARTICLE VI

Members

(a) The membership of directors is hereby terminated. This corporation shall have one member only. The Incumbent Roman Catholic Bishop of the Diocese of Santa Rosa shall be the sole member of the corporation. In case of a vacancy in the office of the Bishop, the person who shall be administrator of the said Diocese shall be the member in his place until the appointment and qualification of a new bishop."

Article VII of the Articles of Incorporation shall be amended to read as follows:

"ARTICLE VII

Officers

The corporation shall have a president, one or more vice-presidents, a secretary and a chief financial officer, who may be known as the treasurer, and such other officers as may be provided for in the bylaws. The appointment and tenure of officers shall be provided for in the bylaws of the corporation. The secretary and the chief financial officer may be one and the same person."

Article VIII of the Articles of Incorporation shall be amended to read as follows:

"ARTICLE VIII

Bylaws

Bylaws of the corporation may be adopted by the directors at any regular meeting or any special meeting called for that purpose, so long as they are not inconsistent with the provisions of the Articles of Incorporation, provided, however, that any adoption, amendment or repeal of bylaws shall not be effective until the written approval of the Roman Catholic Bishop of the Diocese of Santa Rosa to such adoption, amendment or repeal is entered in the corporate minutes."

3. That the amendments have been approved by the Board of Directors.

4. That the amendment was approved by the required vote of the members pursuant to the provisions of Corporations Code Section 5342. Prior to the vote adopting the said amendment, all members received written notice of the effect of the amendment which would terminate membership of directors and all members filed written waivers of 45 days' notice of the vote, pursuant to the provisions of Section 5342 of the Corporations Code.

John T. Steinbock

JOHN T. STEINBOCK
President of the Board

Thomas J. Keys

THOMAS J. KEYS
Chief Financial Officer/Secretary

DECLARATION

Each of the undersigned declares under penalty of perjury that the statements contained in the foregoing Certificate of Amendment of Articles of Incorporation are true of his own knowledge and that this Declaration was executed on June 1st, 1990, at Santa Rosa, California.

John T. Steinbock

JOHN T. STEINBOCK
President

Thomas J. Keys

THOMAS J. KEYS
Chief Financial Officer/Secretary

970874

ENDORSED
FILED
In the office of the Secretary of State
of the State of California
DEC 27 1979
MARCH FONG EU, Secretary of State
Kathleen P. Gutierrez
Deputy

ARTICLES OF INCORPORATION OF CATHOLIC CHARITIES

OF

THE DIOCESE OF SANTA ROSA

We, the undersigned, do hereby associate ourselves together for the purpose of forming a nonprofit corporation under the provisions of the General Nonprofit Corporation Law of the State of California and in pursuance thereof, we do hereby certify:

ARTICLE I

Name

The name of this corporation is CATHOLIC CHARITIES OF THE DIOCESE OF SANTA ROSA.

ARTICLE II

Purposes and Powers

(a) The specific and primary purposes for which this corporation is formed are to engage in charitable activities in THE ROMAN CATHOLIC DIOCESE OF SANTA ROSA (consisting of the counties of Sonoma, Lake, Mendocino, Napa, Del Norte and Humboldt), including, but without being limited to, the providing of personal, marriage and family counselling services, education and training services for the handicapped and other persons, services designed to promote the physical, social and psychological needs of the aged, the aging, and the youth of the various communities within the Diocese, the furnishing of food, clothing, shelter and financial aid to the needy, participating in narcotic rehabilitation and drug abuse programs, participating in community planning in the field of social welfare; and coordinating the activities of the various charitable and welfare agencies of THE ROMAN CATHOLIC DIOCESE OF SANTA ROSA.

(b) In furtherance of the foregoing purposes, this corporation shall have the following incidental and general purposes and powers:

(1) To purchase or otherwise acquire property, both real and personal; and to accept funds and other property, both real and personal, through gifts, bequests, devises or other contributions;

(2) To own, hold, manage and administer such property; and to invest and reinvest funds and other property in such investments as its Board of Directors shall deem advisable subject to the restrictions contained in any such contribution;

(3) To act as trustee under any trust incidental to the primary purposes of this corporation; and to receive, hold, administer and disburse funds and other property, subject to such trust;

(4) To sell, exchange, convey, lease, rent, assign, transfer, or otherwise dispose of, any real or personal property;

(5) To construct improvements on real property, and operate, maintain, repair, alter, rehabilitate and reconstruct the same, for the foregoing primary purposes;

(6) To make and perform contracts in furtherance of the purposes of this corporation;

(7) To borrow money and issue evidence of indebtedness in furtherance of such primary purposes; and to secure the payment or performance of its obligations by deed of trust, mortgage, security agreement or other lien on the corporation's property; and

(8) To have and exercise such other rights and powers which are reasonably necessary or incidental to the foregoing

purposes and powers, or which now are or hereafter may be conferred upon nonprofit corporations by the General Nonprofit Corporation Law of the State of California, as such law is now in effect or may at any time hereafter be amended or revised, and which are reasonably necessary to accomplish the purposes of this corporation;

(c) This corporation shall not engage in any activities or exercise any powers that are not in furtherance of such charitable primary purposes; and the purposes of this corporation also are limited to those meeting the requirements for the welfare exemption under Section 214 of the Revenue and Taxation Code of the State of California as such law is now in effect or may at any time hereafter be amended or revised.

(d) No part of the activities of this corporation shall consist of carrying on propaganda, or otherwise attempting to influence legislation; nor shall this corporation participate or intervene in any political campaign on behalf of or in opposition to any candidate for public office.

ARTICLE III

Nonprofit

The corporation is organized under and pursuant to the General Nonprofit Corporation Law of the State of California. This corporation is organized and shall be operated as a nonprofit corporation exclusively for said primary and charitable purposes.

ARTICLE IV

Principal Office

The principal office for the transaction of the business of this corporation shall be located in the County of Sonoma, State of California.

ARTICLE V

Directors

(a) The names and addresses of the persons who are to act in the capacity of directors until the selection of their successor are:

Name	Addresses
Mark J. Hurley	398 10th Street, P.O. Box 1297 Santa Rosa, California 95402
Walter J. Tappe S/Tr.	398 10th Street, P.O. Box 1297 Santa Rosa, California 95402
Thomas Keys	398 10th Street, P.O. Box 1297 Santa Rosa, California 95402
Stephen Canny VP	Post Office Box 4900 Santa Rosa, California 95404
John A. Klein	37 Old Courthouse Square Post Office Box 1845 Santa Rosa, California 95402

(b) The number of directors shall be five. The directors shall serve as such without compensation.

ARTICLE VI

Members

(a) The persons who are directors of this corporation from time to time shall be its only members and, upon ceasing to be a director of this corporation, any such person shall cease to be a member;

(b) Each member shall have equal voting power; and there shall be only one class of members;

(c) Election and appointment of such members and directors shall be subject to the prior approval of the Roman Catholic Bishop of Santa Rosa, a (California) corporation sole; and in the event that the approval of the Roman Catholic Bishop of Santa Rosa a (California) corporation sole, is withdrawn as to any director and member by written notice delivered to such member and director or to the corporation, then, in such event, such member and director shall be deemed to have resigned and shall automatically cease to be a member and director of this corporation;

(d) The members and directors of this corporation shall have no liability for dues and assessments.

(e) The qualifications, selections and tenure of members and directors, subject to the provisions hereof, shall be as set forth in the by-laws of this corporation; and

(f) The directors and members shall meet at least annually as provided in the by-laws of this corporation.

ARTICLE VII

Officers

The officers of the corporation, as provided by the by-laws of the corporation, shall be elected by the directors of the corporation, in the manner therein set out, and shall serve until their successors are elected and have qualified. The directors shall elect the regular officers of the corporation at the annual meeting for terms of one year. The secretary and treasurer may be one and the same person, and need not be a director of the corporation.

ARTICLE VIII

By-Laws

By-laws of the corporation may be adopted by the directors at any regular meeting or any special meeting called for that purpose, so long as they are not inconsistent with the provisions of these articles of incorporation.

ARTICLE IX

Dedication and Dissolution

(a) This nonprofit corporation is organized, and shall be operated, exclusively for said nonprofit charitable purpose; and is not organized, nor shall it be operated, for pecuniary gain or profit; and there shall be no distribution of any gains, profits or dividends to its members;

(b) The property and other assets of this nonprofit corporation are irrevocably dedicated to charitable purposes; and no part of the profits or net income of this corporation shall ever inure to the benefit of or be distributed to any member, director or officer thereof, or to any private person, except that the corporation may pay reasonable compensation for services rendered; and

(c) Upon the dissolution or winding up of this corporation, its assets remaining after payment of, or provision for payment of, all debts and liabilities of this corporation, shall be distributed for charitable purposes exclusively to a nonprofit corporation approved by the Roman Catholic Bishop of Santa Rosa, a (California) corporation sole, which is organized and operated for similar nonprofit charitable purposes as this corporation and is tax-exempt under Section 501(c)(3) of the Internal Revenue Code (as then amended or the then corresponding statute), and Section 23701(d) of the Revenue and Taxation Code of the State of California (as then amended or the then corresponding statute), or, if no such corporation exists or is formed, then to a nonprofit corporation which is organized and operated exclusively for charitable purposes and which has established its tax-exempt status under Section 501 (c)(3) of the Internal Revenue Code (as then amended or the then corresponding statute) and Section 23701(d) of the Revenue and Taxation Code of the State of California (as then amended or the then corresponding statute).

IN WITNESS WHEREOF, the undersigned, being the persons hereinabove named as directors of this corporation, have executed these Articles of Incorporation on this 24th day of December, 1979.

Mark J. Hurley

MARK J. HURLEY

Walter J. Tappe

WALTER J. TAPPE

Thomas Keys

THOMAS KEYS

Stephen Canny

STEPHEN CANNY

John A. Klein

JOHN A. KLEIN

STATE OF CALIFORNIA)
) ss.
COUNTY OF SONOMA)

On this 24th day of December, 1979, before me, Margaret K. Butler, a Notary Public for the State of California, personally appeared MARK J. HURLEY, WALTER J. TAPPE, THOMAS KEYS, STEPHEN CANNY AND JOHN A. KLEIN known to me to be the persons whose names are subscribed to the within Articles of Incorporation, and acknowledged to me that they executed the same.

OFFICIAL SEAL
MARGARET K. BUTLER
NOTARY PUBLIC — CALIFORNIA
PRINCIPAL OFFICE IN
SONOMA COUNTY
My Commission Expires Jan. 7, 1983

Margaret K. Butler

Notary Public

STATE OF CALIFORNIA
FRANCHISE TAX BOARD
PO BOX 942857
SACRAMENTO CA 94257-0540

Entity Status Letter

Date: 10/20/2021

ESL ID: 5973765772

Why You Received This Letter

According to our records, the following entity information is true and accurate as of the date of this letter.

Entity ID: 0970874

Entity Name: CATHOLIC CHARITIES OF THE DIOCESE OF SANTA ROSA

- [x] 1. The entity is in good standing with the Franchise Tax Board.
- [ ] 2. The entity is **not** in good standing with the Franchise Tax Board.
- [x] 3. The entity is currently exempt from tax under Revenue and Taxation Code (R&TC) Section 23701 d.
- [ ] 4. We do not have current information about the entity.
- [ ] 5. The entity was administratively dissolved/cancelled on through the Franchise Tax Board Administrative Dissolution process.

Important Information

- This information does not necessarily reflect the entity's current legal or administrative status with any other agency of the state of California or other governmental agency or body.
- If the entity's powers, rights, and privileges were suspended or forfeited at any time in the past, or if the entity did business in California at a time when it was not qualified or not registered to do business in California, this information does not reflect the status or voidability of contracts made by the entity in California during the period the entity was suspended or forfeited (R&TC Sections 23304.1, 23304.5, 23305a, 23305.1).
- The entity certificate of revivor may have a time limitation or may limit the functions the revived entity can perform, or both (R&TC Section 23305b).

Connect With Us

Web: **ftb.ca.gov**
Phone: 800.852.5711 from 7 a.m. to 5 p.m. weekdays, except state holidays
916.845.6500 from outside the United States
TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

HUD Approved Housing Counseling Agencies

GO BACK

This listing is current as of **01/26/2022.**

Click here to narrow your search.

Printer Friendly Version.

Agencies located in CALIFORNIA

Agency Name	Phone, Toll-Free, Fax Number, Email, Website, Agency ID	Address	Counseling Services	Languages	Parent Organization
CATHOLIC CHARITIES, DIOCESE OF SANTA ROSA	**Phone:** 707-528-8712-378 **Fax:** 707-575-4910 **E-mail:** fcarvajal@srcharities.org **Website:** www.srcharities.org **Agency ID:** 81105	987 Airway Court SANTA ROSA, California 95403-2048	- Services for Homeless Counseling	- English - Spanish	CATHOLIC CHARITIES USA

You can narrow your search within this state by using one or more of the following search criteria and clicking the "Search" button. To choose another state please click on the "Go Back" link at the **top of this page.**

Agency Name: Catholic Charities, Diocese
Specific City: Santa Rosa
Specific Zip:
Counseling Service:
Language:
Parent Organization:
Designation: ☐ Colonias ☐ Faith Based ☐ Migrant Workers

Search

Catholic Charities Diocese of Santa Rosa

Policy Name	Internal Control of Policy	**Number**	FIN 2.00
Applicable to	Agency, Board of Directors		
Location			
Adoption Date	10/27/2016		
Date(s) of Revision			
COA Standard(s)	FIN 2.01, 2.02, 2.03		
Other Standard(s)			

PURPOSE:

The purpose of this policy is to provide guidelines for the agency's internal control environment related to financial transactions and the reporting of the agency's financial performance and position during the fiscal year.

POLICY STATEMENT:

Management is responsible for the basic financial statements and all accompanying information as well as all representations contained therein. This responsibility is shared by the Executive Director, the Board of Directors and the Director of Accounting and Finance. These responsibilities include:

- Establishing and maintaining effective internal controls including controls over compliance and for monitoring ongoing activities to insure goals and objectives are met;
- Selection and application of appropriate accounting principles;
- Fair presentation in the financial statements in conformance with U.S. generally accepted accounting principles;
- Compliance with applicable laws and regulations, and with the provisions of contracts and grants;
- Establishing and updating Accounting Policies and Procedures to insure segregation of duties to the extent possible;
- Monitoring the General Ledger and Bank Activities to prevent errors, mismanagement and fraud; and
- Approval process to manage unanticipated financial transactions that have a significant impact.

Catholic Charities Diocese of Santa Rosa

Policy Name	Financial Accountability	Number	FIN 6.00
Applicable to	Agency, Board of Directors		
Location			
Adoption Date	10/27/2016		
Date(s) of Revision			
COA Standard(s)	FIN 6		
Other Standard(s)			

PURPOSE:

This Policy is a formal acknowledgement of the commitment of Catholic Charities of the Diocese of Santa Rosa (CCDSR) to financial accountability. The aim of this policy is to ensure that CCDSR's financial accountability are achieved through the application of sound financial management practices that accord with legal and regulatory requirements.

POLICY STATEMENT:

Management is responsible to the Board of Directors, Community, and Regulatory Agencies for the management and reporting of financial activities in a fully transparent manner. This responsibility is fulfilled by the timely completion of CCDSR's a) annual audited financial statements, b) Annual Report to the community of fiscal, statistical, and service data, c) IRS form 990 and OMB A-133, d) California Form 199, and d) other reporting as may be required from time to time by regulatory bodies, donors, grantors, and government bodies.

Name	Fiduciary Responsibility for Fund Balances Policy	**Number**	FIN 7.20
Applicable to	Board of Directors, All Staff Members		
Location			
Adoption Date	9/27/2018		
Date(s) of Revision			
COA Standard(s)	FIN 7		
Other Standard(s)			

PURPOSE: To set standard for responsible financial management. To properly manage and document the use of restricted funds.

POLICY STATEMENT:

1. It is the policy of CCDSR that Net Cash Flow from operations will be positive for every fiscal year. An annual goal for profitability of the agency will be established as an integral part of the annual Board approved budget. It will be a responsibility of the Executive Director to ensure that the Board established goal is met at the end of every fiscal year.
2. All sources of revenue for the agency will be designated by Director of Advancement as either unrestricted or restricted.
3. Restricted Funds will be tracked at a source code level and accounted for using the principles of fund accounting. Each Funding Source will be budgeted before contract start date exactly as funder intended. Agency will monitor these expenses to insure that they are allowable and do not exceed available funds.
4. Any unused restricted funds (TRNA) covering a period beyond the fiscal year will be available to cover appropriate expenses in the following period.
5. Programs will use available restricted funds for approved expenses prior to using general contributions.
6. It is the goal of each program to be responsible for its proportional share of Indirect Costs.
7. The Executive Director, the Senior Directors and the Director of Finance and Accounting will jointly establish procedures necessary to implement this policy.

Catholic Charities Diocese of Santa Rosa

Policy Name	Financial Risk Assessment	**Number**	FIN 3.00
Applicable to	Agency, Board of Directors		
Location			
Adoption Date	10/28/2016		
Date(s) of Revision			
COA Standard(s)	FIN 3		
Other Standard(s)			

PURPOSE:

Consistent with Policy RPM 2.0 (Risk Prevention Management) this Policy is a formal acknowledgement of the commitment of Catholic Charities of the Diocese of Santa Rosa (CCDSR) to financial risk management. The aim of this policy is not to have financial risk completely eliminated from CCDSR, but rather to ensure that every effort is made by CCDSR to manage financial risk appropriately to maximize potential financial opportunities and minimize the adverse effects of financial risk.

POLICY STATEMENT:

CCDSR considers financial risk management to be fundamental to good financial management practice and a significant aspect of governance. Effective management of financial risk will provide an essential contribution towards the achievement of CCDSR's strategic and operational objectives and goals. Financial risk management must be an integral part of CCDSR decision making and routine management, and must be incorporated within the strategic and operational planning processes at all levels across CCDSR.

Catholic Charities Diocese of Santa Rosa

Name	Conflict of Interest Policy	**Number**	GOV 6.00
Applicable to	All Staff and Volunteers		
Location			
Adoption Date	2/28/2012		
Date(s) of Revision	8/25/2016		
COA Standard(s)	COA Standards Gov 5, 6,7		
Other Standard(s)			

PURPOSE:

Catholic Charities of the Diocese of Santa Rosa (CCDSR) is committed to preventing the enrichment of insiders through the adoption and enforcement of a conflict of interest policy consistent with state laws and regulations. Adhering to a well-defined conflict of interest policy will help Catholic Charities preempt even the perception that resources are being used for personal gain by board members, staff members, and volunteers of CCDSR. This oversight will provide organizational procedures with strategies that will help avoid the appearance or actuality of private benefit to individuals who are in a position of substantial authority and will ensure that contact and business arrangements serve the organization's and service recipient's best interests, not private interest.

POLICY:

A personal or financial interest or involvement by a board member, staff member, or volunteer in any customer, client, competitor, or supplier of CCDSR, including outside employment or consulting, is considered a potential conflict of interest. If a board member, staff member, volunteer, or contractor or any of his or her close relatives (spouse, domestic partner, child, sister, brother, parent, grandparent, spouse of a child, in-laws, or spouse of a brother or sister) has, or is considering having, a personal or financial interest in a customer, client, competitor, or supplier of CCDSR, or real estate adjacent to a CCDSR location, the board member, employee, staff member, or contractor must disclose the interest or relationship to the Board President or Chair of the Board of Directors, Chief Executive Officer, or immediate supervisor of CCDSR.

Furthermore, board members, employees, volunteers, or contractors may not give or accept gifts, loans, or favors from persons having business relationships with CCDSR. The receipt or giving of small gifts or casual entertaining for business purposes, however, is not prohibited. Failure to promptly disclose actual or potential conflicts of interest to the Board President or Chair of the Board of Directors, Chief Executive Officer, or immediate supervisor of CCDSR may result in discipline, up to and including, dismissal. Whenever these issues arise, the Board President or Chair of the Board of Directors, Chief Executive Officer, or immediate supervisor of CCDSR must be contacted to review the issue. CCDSR reserves the right to determine whether any relationship represents an actual or potential conflict of interest in violation of this policy.

Procedure Name	Procedure Procedure	Number	FIN 7.004
Applicable to	Board of Directors, All Staff Members		
Location			
Approval Date	10/19/2018		
Date(s) of Revision			
Approved by	Chief Executive Officer		
COA Standard(s)	FIN 7.04		
Other Standard(s)			

PROCEDURES:

The organization seeks to conserve its financial resources by:

1. Maintaining sound practices regarding purchasing and inventory control: All purchases will be made using an approved Purchase Order or Check Request. Each person with signing authority must be approved by the Executive Director. The Accounting department will maintain a list of all purchasing approvers with individual purchasing limits. All Purchase Orders or Check Requests must be approved by a person with the appropriate signing authority in order to be processed in Accounting.

2. Using competitive bidding, when applicable, according to governing body policy and law or regulation: The Agency will follow purchasing procedures as recommended for use with purchasing goods or services with federal funds (see FIN 7.0041). Procurement Methods must use one of the following:

- Micro-purchases: For purchases less than $3,500, no competitive bidding is required
- Small Purchases: For purchases between $3,500 and $150,000, price or rate quotations should be obtained from at least two qualified sources.
- For purchased greater than $150,000 a Competitive Bidding process will be required.
- In the case of an emergency that presents a real, immediate risk to the proper performance of essential functions or the safety of the agency, the Executive Director may declare that an emergency exists, waive competitive bidding requirements, and award all necessary contracts to address the emergency.

Procedure Name	Federal Funds Procurement Procedure	**Number**	FIN 7.0041
Applicable to	Board of Directors, All Staff Members		
Location			
Approval Date	10/19/2018		
Date(s) of Revision			
Approved by	Chief Executive Officer		
COA Standard(s)			
Other Standard(s)			

PROCEDURES:

1. Catholic Charities of the Diocese of Santa Rosa (CCDSR) will follow the procurement policies in this procedure when purchasing goods or services with federal funds.

2. CCDSR will avoid purchasing unnecessary items.
   - An analysis of lease and purchase alternatives will be performed to determine which would be the most economical and practical procurement for the regulatory agency, as appropriate.

3. CCDSR shall not participate in the selection or awarding of a contract supported by a federal award if an employee, officer, or agent of CCDSR has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

4. Positive efforts shall be made by CCDSR include small businesses, minority-owned, veteran's-owned, and women's-owned business enterprises, whenever possible, in the solicitation process.
   - CCDSR will consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, women's and veteran's business enterprises.
   - CCDSR will also encourage contracting with consortiums of small businesses, minority-owned firms, women's and veteran's business enterprises when a contract is too large for one of these firms to handle individually.
   - CCDSR will also use the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms, women's and veteran's business enterprises.

4. Solicitations for goods and services provide for all of the following:
   - A clear and accurate description of the technical requirements for the material, product or service to be procured.
   - Requirements which the bidder/offer must fulfill and all other factors to be used in evaluating bids or proposals.

   - A description, whenever practicable, of technical requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards.

Procedure Name	Federal Funds Procurement Procedure	Number	FIN 7.0041
Applicable to	Board of Directors, All Staff Members		
Location			
Approval Date	10/19/2018		
Date(s) of Revision			
Approved by	Chief Executive Officer		
COA Standard(s)			
Other Standard(s)			

- The specific features of "brand name equal" descriptions that bidders are required to meet when such items are included in the solicitation.
- Preference, to the extent practicable and economically feasible, for products and services that conserve natural resources and protect the environment and are energy efficient.

5. Procurement Methods must use one of the following methods for procurements to be made with federal funds:

- Micro-purchases: Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed $3,500. CCDSR will evaluate the reasonableness of the price quote and to not solicit competitive quotations if the price to be judged to be reasonable.
- Small Purchases: Small purchase procedures are relatively simple and informal procurement methods for securing services, supplies, or other property that exceed the micro-purchases threshold of $3,000, but are less than $150,000. Price or rate quotations should be obtained from a reasonable number of sources, but at least 2 qualified sources. Documentation of the price or rate quotes will be maintained.
- Sealed Bids (formal advertising): The Uniform Grant Guidance, specifically 2 C.F.R. Part 200.320, specifies (a) certain conditions under which the sealed bid method is required, and (b) the process that must be followed if sealed bids are used. Procurement by sealed bids will be utilized for purchases over $150,000 and the policy will require public solicitation with a firm fixed price contract awarded to the most responsible bidder with the lowest price.
- Competitive Proposals: This method is used when sealed bids are not practical. If this method is used, then the following requirements apply:
    - Requests for proposals must be publicized and all evaluation factors must be identified along with their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical;
    - Proposals must be submitted from an adequate number of qualified sources;
    - A written method must be developed for the purposes of evaluating proposals received and for selecting participants;
    - Contracts are to be awarded to the firm whose proposal is most advantageous, with price and other factors considered, and
    - Competitive proposal procedures may be used under certain circumstances for qualifications-based procurement of architectural/engineering professional services (C.F.R. Part 300.320)
- Noncompetitive Proposals: Procurement by noncompetitive proposals may be used only when one or more of the following circumstances apply:
    - The items is available only from a single source;

Procedure Name	Federal Funds Procurement Procedure	**Number**	FIN 7.0041
Applicable to	Board of Directors, All Staff Members		
Location			
Approval Date	10/19/2018		
Date(s) of Revision			
Approved by	Chief Executive Officer		
COA Standard(s)			
Other Standard(s)			

- A emergency for the required item to be purchased will not permit the delay resulting from a competitive solicitation process;
- The Federal awarding agency or pass-through entity expressly authorizes the noncompetitive proposal in response to a written request from the Organization; or
- After solicitation of a number of sources, competition is deemed to be inadequate.

I. Agency Org Chart - Admin CDBG DR

Chief Executive Officer *Len Marabella*								
Chief Program Officer *Jennielynn Holmes*						**Chief Administrative Officer** *Sharon Vaughn*		
Director, Financial Stability & Crisis Response *Amy Holter*							**Controller** ***Alberto Diaz***	
Assistant Director, Community Recovery *Melissa Reese*			**Assistant Director, Financial Stability** *Vacant - Hiring*			Grants Accountants (3)	Staff Accountant	**Grants Compliance Manager** ***Patti Cunningham***
Senior Manager, Disaster Preparedness & Recovery	**Manager, Community Recovery** ***Martha Zuniga***	Program Support III, Community Recovery	**Manager Financial Stability** ***Felix Carvajal***	Case Manager, Financial Stability III	Program Support II, Financial Stability			
Construction Analyst	**Case Manager, Community Recovery III HUD Certification Pending** ***Adrian Arias***		**Case Manager, Financial Stability II, HUD Certified** ***Maria Arreguin***	Case Manager, Financial Stability II				
	Case Manager, Community Recovery II ***Vacant - Hiring***		**Case Manager, Financial Stability II, HUD Certified** ***Rocio Salinas***	**Case Manager, Financial Stability II, HUD Certified** ***Verenice Portales***				
			Case Manager, Financial Stability III, HUD Certification Pending ***Wendy Gattoni***					

***Bolded Positions directly Administer CDBG DR Housing Counseling Grant**

AVAILABILITY CHART: HOUSING COUNSELORS				
Title	**Immediate Availability**	**Availability in a Year**	**% for CDBG-DR Work**	**Time to other projects**
Assistant Director, Community Recovery	Yes	Yes	15%	85%
Manager, Financial Stability	Yes	Yes	15%	75%
Manager, Community Recovery	Yes	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%
Case Manager, Community Recovery III	No; not yet HUD Certified	Yes	75%	50%
Case Manager, Community Recovery III	No; not yet HUD Certified	Yes	75%	50%
Case Manager, Financial Stability II	No; not yet HUD Certified	Yes	25%	75%

RESUMES

Key personnel

Executive Management

- Len Marabella – Chief Executive Officer
- Sharon Vaughn – Chief Administrative Officer
- Jennielynn Holmes, Chief Program Officer

Financial Oversight of Expenditures

- AL Diaz – Controller, Bilingual

Program Compliance and Reporting

- Doria Trombetta – Director Quality Improvement

Project Management

- Amy Holter – Director, Financial Stability & Crisis Response Program

Housing Counseling Services

- Melissa Reese – Assistant Director – Regional Sites/Community Recovery
- Martha Zuniga, Manager, Community Recovery, Bilingual
- Felix Carvajal – Program Manager, Financial Stability Program,
- Maria Arreguin – Case Manager II, HUD Certified Housing Counselor, Financial Stability Program, Bilingual
- Verenice Portales - Case Manager II, HUD Certified Housing Counselor, Financial Stability Program, Bilingual
- Rocio Salinas - Case Manager II, HUD Certified Housing Counselor, Financial Stability Program, Bilingual
- Wendy Gattoni - Case Manager III, HUD Certified Housing Counselor- pending, Financial Stability Program
- Adrian Arias - Case Manager Community Recovery III, HUD Certified Housing Counselor- pending, Bilingual

Len Marabella

Background
I worked in the aerospace and commercial laser industries for more than 30 years. Positions included management of R&D, new product development, engineering management, and product marketing, at Hughes Aircraft, TRW, and JDSU. I began volunteering at Catholic Charities in 2012, supporting strategic planning, accreditation, homeless outreach services, became a Board member in 2013, and then was employed as Executive Director/CEO in 2014.

Current

Catholic Charities of the Diocese of Santa Rosa
Chief Executive Officer 2014-present
Provide leadership for the executive management team who supervise a total of about 200 employees, manage a $20M budget, for all programs offered by Catholic Charities. Responsible for the overall Executive Management team direction, coordination, and evaluation of these units. Carries out supervisory responsibilities in accordance with the organization's policies and applicable federal and state laws. Manages the development of Caritas Village, an approximately $150M project.

Prior Experience

CoOptima, Principal 2008-14
Commercial laser business development consulting

JDSU 2002-08
Director of Commercial Laser Product Development, Director of R&D

TRW (now Northrop-Grumman) 1981-2002
Various position, Department Manager, Program Manager, led 20-company consortium to develop next-generation of high precision, industrial lasers

Hughes Aircraft
Laser R&D

Diocesan/Parish Involvement
Member of the Diocesan Pastoral Council
Chaired St Rose Parish Finance Council
Led parish strategic plan development

Education
BS in Chemistry, Canisius College, Buffalo, NY
PhD in Physical Chemistry, Indiana University
Post-doctoral Research, MIT

Sharon Vaughn, MAOD

www.linkedin.com/in/sharonvaughnmaod/

Objective

To drive strategic operational direction for an organization through my depth and breadth of knowledge of Organization Development and Human Resources. To allow my passion for an inclusive and transparent environment to lead and encourage healthy and sustainable business practices in alignment with organizational goals and growth.

Key Competencies & Skills

- Organizational Culture SME
- Leadership & Staff Development
- Effective communication with all levels of the organization
- Training & Facilitation
- Coaching, Conflict resolution/interpersonal & group dynamics

- Strategic Business Partner
- Full Spectrum of HR Services and Strategies
- Business Operations and Finance Acumen
- IT Literacy
- Program & Project Management
- Process design & Implementation
- C-Suite Leader

Professional Experience

Catholic Charities of the Diocese of Santa Rosa — **May 2020- present**

Chief Administrative Officer Strategic leader setting and driving organizational direction for the agency in alignment with Mission, Vision, and Values. Direct oversight of Human Resources, Quality Improvement, Information Technology, Safety, and Facilities. Shared interim oversight of Finance and Accounting during the vacancy of the CFO position. Key responsibilities include facilitation of continuous improvement to create the most effective and efficient approach to the agency's body of work through the lens of each respective department in collaboration with programs and fund development. Additionally, internal project manager for a $45M capital campaign construction project- Caritas Center.

Catholic Charities of the Diocese of Santa Rosa — **April 2019- May 2021**

Director, Human Resources and Learning & Development – established a learning and development approach in coordination with elevating best HR practices to minimize exposure and ensure a consistent and equitable approach for all policies and procedures. Ensured agency compliance with all Federal, State, and local laws, as well as Worker's Compensation and CalOSHA. Provided professional consultation and framework to build personal and agency capacity through the lens of learning and development.

North Bay Children's Center — **June 2017 – April 2019**

Director, Human Resources and IT- Lead all functions of Human Resources for 14 sites, ensuring compliance to all policies and regulatory requirements at the local, state, and federal levels. Member of the Executive Leadership team, contributing strategic direction for the organization, along with affecting cultural change in an appropriate and meaningful ways. Implement best practices for leadership development through regular training sessions. Drive continuous innovation for efficient structures, processes, and best practices for alignment with the organization's mission, vision, and values. Provide formal and informal leadership coaching ranging from executives to site supervisors. As an Executive team member, provide strategy and oversight to a 5M budget.

Sonoma State University- Rohnert Park, CA **July 2013 – May 2020**
Adjunct Faculty, Assistant Instructor: Masters of Organization Development program- Mentor graduate students by contributing subject matter expertise, workshop & project design and best practices for effective processes in Org Development. Coordinator for student's professional practice projects with various organizations within the business, government, and non-profit communities to ensure quality contributions and desired outcomes. Provide continuum of curriculum, orientation, and intention for cutting edge Organization Development philosophies and methodologies.

Rich Doss, Inc., Doss Dedicated, Inc., F3 Systems, Inc.- **November 2014 – February 2017**
Director, Human Resources and Administration- Lead all functions of Human Resources for three companies, with 12 locations in 5 different states, ensuring compliance to all policies and regulatory requirements at the local, state, and federal levels. Implemented strategies, structures, and processes, in alignment with organizational goals, to reduce exposure and maximize HR's internal customer service for the organization. Provided oversight and strategic direction for the finance team, driving continuous improvement and best practices for efficiencies throughout the department.

Sharon Vaughn Consulting- Sebastopol, CA **March 2010- Ongoing/Occasional**
Freelance Consultant- Build team and organizational capacity, leadership and personal development, strategic and visionary planning, system redesign, and process improvement. Extensive work utilizing evaluation and measurement processes for cultivating intentionality and organization capacity. Specialize in organizational culture and goal alignment for effective change.

Workplace Answers, LLC/New Media Learning, LLC- Austin, TX **April 2007- April 2013**
Training & Development Manager- Engaged in full life-cycle of client relationship: project assessment, development, and implementation of customized CBT. Presented best business practices and methodologies for training solutions in alignment with client's organizational goals and initiatives. Database management and delivery of train-the-trainer workshops for backend support. Proficient with Sale Force (CRM), Learning Management Systems (LMS), webinar platforms and Microsoft Office Suite.

Internal Change Management- collaborated with Managing Partners on design and implementation of the company's merger/acquisition process, assessing environment for readiness to allow for strategic and nimble processes to be adopted as WPA and NML merged organizations.

Costco Wholesale Corporation- Novato/Rohnert Park, CA **June 1992-November 2005**
Supervisor for following departments:
Operations | Administration | Human Resources | Membership | Merchandise | Shipping-Receiving
Supervised employees in six departments over the course of my tenure, including Human Resources and general operations. Managed up to 80 direct reports. Promoted highest level of customer service to all

members while achieving company goals and objectives. Coordinated, managed, and delivered safety trainings. Managed employee performance and engagement initiatives site-wide.

Education

2011 Sonoma State University Masters, Organization Development
2009 Sonoma State University Certificate, Human Resources Management
1993 Sonoma State University Bachelor of Sciences, Criminal Justice Administration

A.L. Diaz

M.B.A. Finance Executive with 23 years of experience and strategic leadership in Operations, Revenue Cycle, Supply Chain and Electronic Health Records. Experience in all facets of Financial, Cash, Operational and Capital Budget Management. Subject matter expert in Revenue Cycle, Cost Control and Performance Metrics.

Controller Catholic Charities of the Diocese of Santa Rosa July 2020 to Present
$22 million decentralized service provider in 4 counties providing Immigration, Housing, financial and emergency shelter services. Partner closely with Directors and Program Chief's to manage grants and process improvement initiatives for the entire grant cycle. Staff to Board designated finance committee, Audit and Pension/Investment Committee and real estate committee. Expanded responsibilities include accounting for New Markey Tax Credit Financing, construction compliance, stabilizing revenue and accounting cycle for 3 corporate entities.

Engagements during the period of: July 1996 to July 2020

Chief Financial Officer Omni Family Health $107 million dollar budget, 750 FTE's, 35 locations, providing Medical, Dental, Pharmacy, Optometry and Behavioral health services. Partner with Regional Directors and Chief of Medical, Dental, Operations, Information Technology and Human Resources to identify best practices, access, workflow and process improvement initiatives for the entire revenue cycle. Support of Audit Compliance and Pension/Investment Committee. Expanded responsibilities included stabilizing revenue and accounting cycle to establish timely and accurate operating results, restructure bond debt and New Market Tax Credits.

Chief Financial Officer La Clinica, $100 million dollar budget, 800 FTE's, 40 locations, providing medical, dental, school based and mental health services. Partner closely with Regional Directors and Chief of Clinical Operations to identify best practices and process improvement initiatives for the entire revenue cycle. Chair of Board designated Compliance/Audit and Pension/Investment Committee. Expanded responsibilities included Human Resources while stabilizing revenue and accounting cycle to establish timely and accurate operating results.

Chief Financial Officer Oak Valley Hospital $60 million dollar budget, 800 FTE's, Acute /Long Term/Rehab Hospital serving community through 5 rural health clinics. Worked closely with COO and CNO to improve efficient and effective organizational management. Liaison to Foundation with expanded responsibilities for ambulance services, dental clinics, and case management. Chaired Board designated Compliance/Audit and Pension/Investment Committee.

Education

M.B.A. Finance, St. Mary's College, Moraga, California

B.S. Accounting, San Francisco State University San Francisco, California

COMMUNITY SERVICE

- Board of Directors, Mission Area Community Health Clinic (FQHC)
- Past President, Cultural Association Education Scholarship Trust
- Board Finance Committee, Private School

PROFESSIONAL AFFILIATIONS

- HFMA, Healthcare Financial Management Association (Advanced member)

Doria Trombetta
Catholic Charities of the Diocese of Santa Rosa
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707 308-4794 (o)
707 528-78712 x 173

PROFILE

Experience in the nonprofit sector as an administrator with responsibilities in Compliance, Development of policies and procedures, and Accreditation.

Leadership abilities with distinction for innovation, initiative, and integrity. Recognized among educators and other professionals for significant contributions to quality relationships, high performance and creating and sustaining successful organizational culture.

Accomplished educational leader with substantial history of demonstrated achievements in developing, managing, and improving the quality of public secondary education and providing service to the community.

SUMMARY OF PROFESSIONAL COMPETENCIES

- Program Administration ■ Training and Development ■ Interdisciplinary Collaboration
- Team Building ■ Problem Solving ■ Budget Management
- Change Management ■ Events/Presentations ■ Personnel Selection
- Student Support Services ■ Evaluation Process ■ Coaching/Mentoring

EDUCATION/CREDENTIALS

CA Administrative Services Credential
Master of Arts Degree: Interdisciplinary Social Science
CA Standard Secondary Credential: Major: History, Minor: English/Humanities
Bachelor of Arts Degree: History

CURRENT POSITION

Director, Quality Improvement 2015-present
Catholic Charities of the Diocese of Santa Rosa

Compliance
Policy and Procedures
Performance Quality Improvement Program
Case Record Reviews
One Agency Training
Grant Compliance

- Supervision
  - Grants Compliance Manager
  - Grants Compliance Specialist
- CCDSR: Portfolio of (add #) Grant Contracts
- Management of CCDSR Grants Compliance Procedure

PAST POSITIONS

Principal/Co-Principal El Molino High School, West Sonoma County Union School District 1990-2014
Trainer of Trainers Western Association of Schools and Colleges, Burlingame, CA 1989-1990
Vice Principal/Assist Vice Principal El Molino High School West Sonoma County Union High School District 1986-1990
Coordinator of Categorical Programs Analy Union High School District 1984-1989
Teacher/Department Chairperson Analy High School, Analy Union High School District 1973-1986
Teacher Mercy High School Burlingame, CA 1969-1973

JENNIELYNN HOLMES, MPA

4073 Rickenbacker Drive, Santa Rosa, CA 95407: 707-321-5711: jennielynnholmes@gmail.com

EXECUTIVE SUMMARY:

- **Executive Leadership**. Multiple years experience in executive level leadership that is mission-focused, innovative and driven from a place of passion to serve those most in need in Sonoma County
- **Fund development and grants management.** Developed and managed annual budgets, which includes diverse funding from private and public sources.
- **Program development and management.** Developed and implemented innovative programs and services based on evidence based practices, many of which were recognized as national best practices
- **Community relations**. Worked with cross-sector groups such as volunteers, donors, community stakeholders, funders, elected officials, media and many more.
- **Human Relations**. Built and retained exceptional staff while creating excellent work environments
- **Budget oversight and management**. Oversaw and coordinated budget and financial management for multiple departments
- **Growth Management**. Lead department through periods of positive growth including the transition to Housing First, growth of several programs, as well as the increase of over 300 units of permanent housing.
- **Advocacy and Innovation**. Advocated and educated communities at a local, state and national level around homelessness and housing best practices and actively convened the community around creative solutions to our community's top issue of homelessness and housing.

PROFESSIONAL EXPERIENCE:

Catholic Charities of the Diocese of Santa Rosa **August 2018– present**
Chief Program Officer
Responsible for leadership, supervision, oversight, and management of the agency's programs and services, specifically with relation to all matters related to department's program operations, budget and contract management, and impact measurement in multiple counties including Sonoma, Napa, and Humboldt counties. Programs include Housing and Homeless Services, Immigration Services, Senior Services, and Community Services

- Work closely with program directors to maintain positive working relationship with funders, and work with internal and external stakeholders to assess and pursue funding opportunities
- Lead annual budget development and ongoing financial monitoring of program funding and expenses, ensuring compliance with all regulatory, licensing and contracting requirements
- Co-chair the National VOAD's Long Term Recovery Committee in response to the wildfire disaster in Sonoma County
- Prepare and execute annual operating plans for the department, and work with other department executives in syncing annual plans and cross-departmental initiatives
- Identify and develop program-specific outcomes to ensure program effectiveness and impact, with the ability to report that to funders and the community. Design and manage program services directly related to those outcomes.
- Develop, evaluate and manage all personnel ensuring compliance with accreditation and evidence based practices while creating an atmosphere of support, energy, hope and innovation
- Maintain awareness of changes in market and community processes that can impact services, brought forward prospective recommendations to deal with the expected changes providing new concepts and new program opportunities
- Lead the agency through a 6 month implementation of Housing First, becoming the first homeless service agency in the County to have adherence to this innovative and evidence-based practice
- Provide coaching and technical assistance to other communities based on expertise in designing and implementing new programs in alignment with Housing First
- Present at various local, state and national convening including Housing CA statewide conference, Catholic Charities' USA's annual gatherings on best practices related to housing and homeless services, and more

Catholic Charities of the Diocese of Santa Rosa **March 2012– August 2018**
Director of Shelter and Housing
Responsible for significant growth within the department moving the department from a $1.5M annual operating budget to $6.7M annual operating budget. This included the development of several new and innovative programs including the conversion of a 104-unit motel into permanent supportive housing for homeless veterans and chronically homeless individuals that garnered national attention.

- Implemented several new programs to further the progress of reducing homelessness and increasing housing opportunities for the community. New programs included the following:
    - Palms Inn Housing Program – Converted a 104 unit motel into permanent supportive housing for veterans and chronically homeless individuals
    - Homeless Outreach Services Team (HOST) – Partnered with the City of Santa Rosa and County of Sonoma to develop the community's first street outreach team that played a role in the 23% reduction in chronic homelessness
    - Code Blue Programs - Launched the Safe Parking and Warming Center programs to help those who are living outdoors during extreme cold weather
    - Coordinated Entry Program – In alignment with a HUD mandate implemented multi-agency and cross-sector coordinated entry process to provide universal front door to anyone in need of housing or shelter programs within the entire County of Sonoma
    - Nightingale Shelter – Developed and expanded Nightingale Respite Shelter for homeless patients being discharged from the hospital which saved local hospitals $12M in one year in the County of Sonoma. Recently opened a Nightingale shelter in the County of Napa and hosted a two-day summit for over 10 agencies from across the nation to come and learn about this innovative cost-saving program.
    - Rapid Re-Housing Program – Piloted the community's first Rapid Re-Housing program and expanded the program to over 200 scattered site units throughout the county
    - Sam Jones Hall – Grew the beds in this single adult shelter from 80 beds to 213 beds making it the largest shelter in Northern California.
    - Betty Chinn Day Center – In partnership with the County of Humboldt opened a homeless day center in Eureka, which served 800 people in its first year of operations.
    - BRIDGES After School Program – Designed and implemented an after-school and summer program for children experiencing homelessness
    - Project HOPE – In partnership with the Santa Rosa Homeless Collective assisted in the convening of multiple agencies across various sectors to create comprehensive policy around homelessness and housing
- Created and implemented over 50 policies and procedures and best practice systems and lead the department to be accredited by the Council on Accreditation (COA). Accreditation status received March 2013 and Reaccreditation status received in July 2017.
- Established a partnership with the University of Notre Dame's LEO Project (Laboratory for Economic Opportunity) to review programs as national best practice
- Ensured program fiscal management and accountability including effective, comprehensive, and diverse funding of programs.
- In partnership with OrgCode Consulting, planned and implemented the Summit on Homeless Solutions, the largest local convening on the issue of homelessness
- Developed strategic plans for current and future program operations
- Networked with related professionals and partner agencies (governmental and nonprofit) in the community to ensure positive relationships and comprehensive services
- Ensured that the needs of program participants are represented to civic and community organizations as well as funders and governmental agencies in order to generate necessary support and resources

Catholic Charities of the Diocese of Santa Rosa **April 2011 – March 2012**
Family Support Center Program Manager

- Managed $1M budget for Family Support Center, the largest shelter for families between the Golden Gate bridge and Oregon border
- Provided leadership through oversight of 16 employees, budgets and spending, planning, service development and community interaction
- Designed 14 page standardized philosophy of care entitled Bridging the Gap
- Completed reports and statistical analysis of activities as required by agency.

- Developed and managed a comprehensive outreach/working relationship with stakeholders including other shelter providers, elected officials, business people and neighborhood relations
- Maintained awareness of changes in market and community processes that could impact shelter services, and brought forward prospective recommendations to deal with expected change
- Developed and maintained several key partnerships with other community non-profit organizations.
- Coordinated planning and project management processes
- Monitored implementation of program grants including pursuing new grants and other source of revenue for programs

Catholic Charities of the Diocese of Santa Rosa **February 2009 – April 2011**

Coach 2 Career Coordinator

- Designed, implemented and facilitated Coach 2 Career program that has successfully placed 800 persons into work since 2009
- Coordinated services with other educational, vocational training & employment programs
- Met individually with clients to assess job readiness; identify educational and vocational goals
- Facilitated weekly group workshops for up to 80 people
- Maintained up to date community resources for clients in need of referrals
- Created marketing tools to promote program including handouts, flyers, brochures, slides, and more
- Did weekly and monthly presentations for both small and large groups ranging from 5-80 people
- Acted as community liaison with Sonoma County Probation Department
- Created several cohesive and comprehensive programs including a 7 week employment readiness class, Dress for Success Program, The Learning Center, Workbuild, and Children's Discovery Center

Ritch Insurance Services **April 2009-February 2011**

Office Manager

- Oversaw entire office operation for insurance brokerage, providing customer service and coordinating between multiple insurance carriers and brokers

Bank of America **August 2008 – May 2009**

Lead Teller/Supervisor

- Supervised tellers to ensure efficient work environment and that all company policies were followed while consistently exceeding sales goals including 3 quarters exceeding sales goal by 200%

ASUCD Coffeehouse **September 2005 - August 2008**

Student Manager

- Managed front of the house $3.7M retail cafeteria that served 7,000 customers/day, supervising 22 student supervisors and approximately 100 student employees. Interviewed, hired and trained employees while also handling finances, scheduling and order supply. Participated in the Coffee Housing Building Committee for an $8.7M renovation project.

AWARDS/CERTIFICATES RECEIVED:

- State Senator Mike McGuire's Woman of the Year for the County of Sonoma (2016)
- North Bay Business Journal's 40 under 40 award recipient (2012)
- Leadership Santa Rosa Class 32 Program Graduate (2016)
- OrgCode's Leadership Academy on Ending Homelessness Graduate (2017)
- Deans List for University of San Francisco (2013-2015)
- Certificate of Completion: Homeless Services Leadership Class (2014)
- Certificate of Completion: Catholic Charities USA's Leadership Institute (2012)

COMMUNITY ACTIVITIES:

- HOME Sonoma County Technical Advisory Committee (2018-present)
- County of Sonoma's First Five Commissioner (2017-present)
- Co-Chair of Rebuilding our Community (ROC) Sonoma County (2017-present)
- City of Santa Rosa Community Advisory Board Member (2016-present)
- Board Member for the College Tee Project (2016-present)
- Leadership Santa Rosa Steering Committee (2017-present)

- Santa Rosa Metro Chamber of Commerce's Downtown Advocacy Task Force Member (2017-2018)
- Co-chair RENT Sonoma County (2015-2018)
- St. Joseph Health's Community Benefit Committee (2014-present)
- Sonoma County Continuum of Care Board (2014-2018)
- Napa County Continuum of Care Board (2014-2016)
- Betty Kwan Chinn Homeless Foundation Board (2014-2017)
- Board of Directors: Burbank Housing Neighborhood Revitalization Corporation (2011-present)

EDUCATION:

University of San Francisco, CA **July 2013 - August 2015**

- Masters in Public Administration (4.0/4.0)

University of California Davis, CA **September 2004 - June 2008**

- Bachelor of Arts Degree: History, Spanish, Sociology (3.5/4.0)

References Available Upon Request

Amy B. Holter

2102 Peterson Lane. •. Santa Rosa, CA •. (252) 717-3874 •. aholter@srcharities.org

EDUCATION

2011 – 2013 **AMERICAN UNIVERSITY SCHOOL OF INTERNATIONAL SERVICE** Washington, D.C.

M.A., International Development - Education & Development Management concentrations – GPA 3.97/4.00

- Coursework: Program Evaluation; Quantitative Project Evaluation; Measuring Social Impact; Development Management; Education and Public Policy; Children in International Development; Supporting Youth in Development; Tools for Successful Grantwriting; Training Program Design; Micropolitics of Development; International Affairs Stats and Methods; Microeconomics; Macroeconomics

2005 – 2009 **UNIVERSITY OF NORTH CAROLINA** Chapel Hill, N.C.

B.A., Journalism & Psychology (Double Major), GPA 3.85/4.00

- Phi Beta Kappa; National Society of Collegiate Scholars; Public Service Scholar

EXPERIENCE

2019 – Present **CATHOLIC CHARITIES OF THE DIOCESE OF SANTA ROSA** Santa Rosa, CA

CCDSR is a nonprofit organization that serves vulnerable people of all cultures and beliefs, prioritizing those experiencing poverty.

Director, Financial Stability & Crisis Response *(November 2019 – present)*

- Direct all programs in the Financial Stability & Crisis Response Department, which includes four divisions –
  1.) Financial Stability - HUD-Certified Housing Counseling, Credit Counseling, Budgeting, Savings/Banking, Tax Preparation, and ITIN Applications;
  2.) Crisis Response & Community Resources - Benefit Enrollment, Senior Services, Food Access, Nutrition Education, and Disaster Response;
  3.) Community Recovery - Disaster Recovery, Preparedness, and Resilience; and
  4.) Data & Systems Integration - Data and systems support for all CCDSR programs.
- Oversee and support 45 employees serving clients in Sonoma, Lake, and Napa counties.
- Ensure programming is accessible to and meets the needs of the most vulnerable with a focus on those at imminent risk of homelessness.
- Lead implementation of approximately 40 grants from federal, state, local, and non-governmental sources, supporting financial tracking, reporting, and program compliance and quality.
- Engage partner agencies and coalition groups. Currently acting as the Chair of the Sonoma County Community Organizations Active in Disaster and the Chair of the Sonoma County Long-Term Recovery Group.
- Act as a member of the Diversity, Equity, and Inclusion Committee.
- Support many all-agency systems such as grants management processes, data gathering and reporting, 'front door' processes, and client impact tracking.

2013 – 2019 **GLOBAL PARTNERS FOR DEVELOPMENT** Rohnert Park, CA

Global Partners is a nonprofit organization that supports community-driven development in the areas of clean water, education, health, and women's development in Kenya, Tanzania, Uganda, and Burundi.

Director of Programs and Evaluation *(October 2013 – present)*

- Direct grant processes through community engagement, local partner deliverables, project sustainability, budget development, and technical feasibility.
- Design, analyze, and produce reports on qualitative and quantitative program impact evaluations for both ongoing and new pilot initiatives.
- Consult with partner agencies to improve their community-driven practices and provide research, monitoring and evaluation support.
- Oversee partners & employees in East Africa and provide support through ongoing project management, facilitation of trainings, and networking between government, community organizations, and other local leaders.

- Manage contracts with partners for grants in the areas of education, health, water, sanitation, and hygiene (WASH), and women's empowerment.
- Conceptualize and implement new partnership models and curricula through which local communities manage their own local development and future planning.
- Develop programs reports, evaluation reports, and marketing materials.
- Act as the Principal Investigator on M&E contracts with other NGOs and the U.S. government.

2017 – Present **ALEXIS MARTIN, CONSULTANT** Oakland, CA

Sub-Contractor *(February 2017 – present)*

- Provide copy and line editing services for UNICEF global and country reports.

2013 – 2016 **INTERNATIONAL INITIATIVE FOR IMPACT EVALUATION (3IE)** Washington, D.C.

3ie funds impact evaluations and systematic reviews that generate high quality evidence on what works in development and why.

Consultant *(July 2013 – November 2016)*

- Identify and analyze impact evaluations that correctly use experimental and quasi-experimental evaluation methods.
- Write summarizing reviews to introduce the studies in an online database.
- Create gap maps to reveal areas that require further research (USAID initiative).

2011 – 2013 **AMERICAN COUNCILS FOR INTERNATIONAL EDUCATION** Washington, D.C.

International nonprofit organization specializing in academic, professional, linguistic, and cross-cultural exchange with 30 offices worldwide, 400 employees, and a 2011 operating budget of ~$70 million.

Program Officer: *Promoted ahead of traditional timeframe from Program Assistant (Jan.-July 2012) to Program Associate (July 2012-March 2013) & Program Officer (March – July 2013)*

- Selected and managed a portfolio of fellows sponsored by global higher education initiatives, notably a $3 million grant for the Near East & South Asia Undergraduate Exchange Program (NESA UGRAD) funded by the U.S. Department of State.
- Analyzed program evaluations and performance metrics in order to produce quarterly reports for program funders, including U.S. and foreign governments, USAID, and private foundations.
- Negotiated tuition cost-sharing arrangements with partner universities to meet budgetary requirements.
- Planned and implemented annual orientations and seminars for 100+ international students.
- Designed and led virtual workshops for domestic and foreign partners.
- Continued all communications functions outlined below.

Communications Specialist *(Sept. 2011-Jan. 2012)*

- Conceptualized, designed and wrote monthly issues of the NESA UGRAD newsletter sent to a global network of partners including U.S. embassies, Fulbright commissions, the U.S. Department of State, and educational institutions.
- Prepared press releases & news blasts and maintained updated Web sites for all inbound higher education initiatives.
- Edited quarterly and annual reports for all inbound higher education programs for consistency, clarity, and accuracy.

Spring 2013 **EDUCATION DEVELOPMENT CENTER (METAS Program)** D.C. & Tegucigalpa, Honduras

EDC is a global nonprofit organization that designs, implements, and evaluates more than 250 programs in 30 countries in the fields of education, health, and economic development funded by USAID

Evaluation and Tool Development Consultant

- Developed tools to evaluate the effectiveness of the METAS program's youth employability project, including a youth survey, protocol for a youth focus group, and a facilitator survey.
- Designed and supervised a three-day training for surveyors from the National Institute of Statistics of Honduras to gather surveyor feedback on the relevance and effectiveness of the tools both before and after their validation.
- Oversaw the validation of these tools through pilot surveys and focus groups conducted in one public

school and one vocational school in Tegucigalpa, Honduras.
- Updated surveys and focus group guidelines, wrote reports, and gave presentations to METAS and EDC staff based on the findings of the pilot for use in the baseline and post-program evaluations.

Fall 2012 **THE WASHINGTON LITERACY CENTER** Washington, D.C.

Local nonprofit organization providing literacy services to functionally illiterate adults since 1963

Monitoring and Evaluation Consultant

- Produced a Monitoring and Evaluation Procedures Manual to guide new and continuing M&E initiatives for adult literacy classes.
- Analyzed current program M&E goals and procedures through a stakeholder analysis, SWOT analysis, theory of change analysis, logical framework analysis and literature review.
- Designed a training to build staff capacity in M&E concepts and activities.
- Proposed simple, cost-effective procedures to measure outcomes and build upon existing systems.

2010 – 2011 **CALSERVES AMERICORPS** Santa Rosa, CA.

Local nonprofit organization operating through Americorps funding and providing academic enrichment through after-school programming and literacy tutoring at eight local elementary schools

Volunteer Infrastructure Project (VIP) Fellow

- Managed 12 mentors by providing daily feedback and moderating team meetings and trainings.
- Recruited, placed, and oversaw 114 volunteers at R.L. Stevens Elementary School.
- Wrote and designed a bi-lingual monthly newsletter for ~110 English- and Spanish-speaking families.
- Raised funds and planned a public events through activities not required by position description.
- Planned and supervised 16 field trips, 15 presentations and weekly clubs for after-school students.

2009 – 2010 **THE SHINE CENTRE** Cape Town, South Africa

Nonprofit organization providing literacy tutoring for students in five junior schools in Cape Town, with learners hailing from the townships outside the city

Site Operations Manager, Observatory Junior School

- Coordinated and trained 50 adult tutoring volunteers and 120 learners in the first through third grades.
- Collaborated between school staff and Shine Centre staff to ensure fluidity of program operations.
- Tutored students struggling with literacy in the second and third grades and managed a lending library.

ADDITIONAL

- *Computer-based skills:* Microsoft Office Suite; Microsoft Project; InDesign; SPSS; STATA
- *Local volunteering:* Board of Directors, Healdsburg Active 20-30 Club #205

Martha Zuniga

QUALIFICATIONS

- Program management experience.
- Supervisory and staff management experience
- Case management experience
- Experienced with working with individuals of multiple ethnic backgrounds and barriers.
- Strong organizational skills and effectively work under pressure.
- Computer proficient in Microsoft Office Suite (Word, Excel, and Power Point), Outlook,CalWIN and Enterprise Nonprofit Standard System (ETO)
- Bilingual (Spanish/English)

EDUCATION

Sonoma State University 2015- 2017 Cotati,
CA**Santa Rosa Junior College** Santa Rosa, CA
Associate of Arts Degree/Major Sociology and Spanish *2015*
CAN/HHA/Certificate *2013*
Community Health Worker/Certificate *2012*

EXPERIENCE

Catholic Charities Santa Rosa, CA April 2019 – Present

Program Manager/ Community Recovery Program

- Oversee the Disaster Case Management department. Responsible for assigning cases, reviews case records to monitor progress and monitor outcomes.
- Oversee the maintenance of case records and Case Record Reviews to monitor participant progress, ensuring that corrective actions are made to all case records are completed.
- Responsible of the implementation of program policies and procedure in line with best practices and standards.
-
  Organize and lead Disaster Case Management trainings.
-
- Work in collaboration with elected officials and local, state and federal agencies such as FEMA, Habitat for Humanity, California Human Development, Community Action Partnership, Tzu-Chi, Salvation Army,Housing Authority, Corazon and faith communities.
- Conduct interviews for candidates for several positions and create onboarding plan for new hired employees.

Catholic Charities Santa Rosa, CA Nov 2018 – April 2019
Supervision Manager/ Disaster Case Management

- Responsible for supervising Catholic Charities case managers as well as case managers from sub-contracted agencies.
- Worked closely with the management data system director to strengthen the workflowprocess in the Enterprise Nonprofit Standard system.
- Streamline the process for our clients to receive services.
- Worked to improve our agency's services and the work environment for employees as a member of the Performance and Quality Improvement committee.
- Created onboarding plan for newly hired employees.

Catholic Charities Santa Rosa, CA Jul 2018 – Nov 2018
Case Manager III

- Assisted in the implementation of the workflow process in the Enterprise Nonprofit Standard (ETO) system.
- Supervised two case managers in the Disaster Case Management program.
- Lead weekly peer review meetings.
- Conducted interviews for candidates for several positions such as Resource Connectors,Program Support and Case Managers.

Catholic Charities Santa Rosa, CA Jan 2018 - Jun 2018
Case Manager I

- Determined client's eligibility for the Disaster Case Management program.
- Responsible for scheduling and completing the client's assessment of needs.
- Completed monthly and quarterly reports of the case status.
- Created and translated documents as needed for new case management process.
- Responsible for planning and organizing outreach events.
- Ensured and maintained client files to meet Council of Accreditation standards.

Catholic Charities Santa Rosa, CA April 2016- Jan 2018
Resource Connector

- Assisted clients in applying and renewing Medi-Cal and Cal-FRESH benefits.
- Referred clients to community resources.
- Created and maintained case files.
- Organized and lead clinics and outreach events.
- Entered and maintained client's data in the ETO system.

FELIX CARVAJAL

Santa Rosa CA, 95407

M:707.800.5772 E:fcarvajal@srcharities.org

- 14 years of experience in the non-profit field working with youth and families.
- Experience in community relations, and networking with a variety of individuals and organizations to better serve clients.
- Organized and detail orientated in the handling of confidential correspondence.
- Committed to improving professional development through training and skills workshops.
- Work well individually or with a team and approach challenges with a solution oriented mindset
- Trained in client interfaced practices like Trauma informed Care and Question, Persuade, Refer.

EXPERIENCE

01/18/2018 – Current Catholic Charities Santa Rosa Santa Rosa, CA

Program Manager Financial Stability.

- Oversee the implementation of service deliverables associated to the Financial Stability Program including but limited to Housing counseling, CALHFA, Emergency Rental Assistance, Secure Families, and ITIN/Tax services.
- Management of emergency or financial aid funds for families/individuals experiencing disaster or financial instability due to the COVID19 pandemic.
- Provide programmatic reports to affiliated partners regarding financial stability including updates, questions, concerns and system changes.
- Supporting the financial stability team through biweekly check-ins to monitor workload and provide support on client cases, policies, and programmatic changes.
- Submit monthly/quarterly reports to key funders regarding financial stability services.
- Support in providing training opportunities to expand upon knowledge on financial literacy services and client engagement modalities.
- Management of program referrals and case assignment to available counselors.

Case Management Supervision Manager

- Supervise Staff and program support staff in Community Stability program as they integrate into Community Recovery and Housing Support Programs, meeting agency standards for job evaluation, problem solving, and employee discipline.
- Ensure implementation and compliance with CCDSR policies and procedures, grant requirements, implementation of best practices, including all forms of documentation, and consistent continuous improvement processes. Ensure that all employees in the program understand these expectations and work accordingly.
- Strong, clear, and consistent communication with in the Disaster Case Management Team, internally with other agency programs, and with external partners to ensure a collaborative relationships.
- Ensure that employee training is accessed as required program needs, funding sources, best practice standards, and employee development.
- Support in the collection, aggregation, and analysis of data in ETO and other required programs with the goal of program improvement. Conduct routine staff meetings and training sessions; document according to agency

FELIX CARVAJAL

Santa Rosa CA, 95407

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02/22/2007 - 07/25/2017 Social Advocates for Youth Santa Rosa, CA

Case Manager

- Responsible for maintaining a safe and secure environment during all program operations.Maintain intake and eligibility documentation per program requirement.
- Provide comprehensive counseling/case management including supportive services, leadershipopportunities, and referrals to community resources.
- Complete documentation of services including: Case Notes, Service Plans, Incident report, etc. Coordinate with community partners to provide services and referrals.
- Network and liaise with landlords and neighbors in the community to provide excellentcustomer service and develop housing opportunities for youth.
- Provide Supportive Services to facilitate program participant lease signing and through tenancy to establish being a good renter.
- Complete all required data entry into the Homeless Management Information System (HMIS). Support the Program Manager in meeting contract requirements. Member of On-Call Support

Crises Counselor

- Responsible for maintaining a safe and secure environment during all program operations.
- Perform duties required to maintain neatness and cleanliness of the facility
- Complete all necessary documentation including individual service logs, programcommunication log, incident reports, etc.
- Monitor and enforce rules for program
- Facilitate program life skill activities including cooking, cleaning, and yard work
- Arbitrate disputes and provide a sounding board for complaints and concerns
- Act as SAY ambassador to any drop-ins seeking services
- Assist in following all legal and licensing regulations and requirements for program
- Follow all emergency procedures to ensure safety of youth, families, and property
- Perform regular duties regarding supply and food inventory and procurement
- Assist Program Manager in completion of Safety Inspections & Audits for Program Compliance with legal/licensing regulations

Street Outreach Worker

- Establish and maintain positive relationships with street, homeless and other transitional ageyouth
- Oversee youth workers and report to Outreach Coordinator
- Provide community referrals for health, housing, employment. Facilitate access to community resources as necessary.
- Maintain complete and accurate case files and records
- Participate in training and supervision
- Perform other related duties as assigned
- Outreach and networking with schools to provide information and presentations.

T02/22/2007 - 07/25/2017 VOICES Sonoma Santa Rosa, CA

Co-Founder

- Collaborated with Sonoma County Children's Services and community partners to open a resources center for TAY population implementing programs that would create systems

FELIX CARVAJAL

Santa Rosa CA, 95407

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changefor the betterment of youth who are in and exiting foster care, including homeless youth.

Program Management

- Developing and maintaining relationships with all co-located partners to ensure that programscontinue to be effective and worked to create strategies to keep services adaptive to TAY culture. Responsible for co-located services at the center to further support youth in their development towards self-sufficiency.
- Facilitated and organized trainings for youth staff that are new to the VOICES program and Responsible for weekly supervision with youth staff to support their development in the workforce.

Case Management

- Have experience and knowledge in case management for youth who access VOICES services. Case notes, referrals and follow through was paramount to understanding the youths needs inour community and helped to provide comprehensive data to our funders

TRAINING

First Aid / CPR Certified

- Trained to respond to common first aid emergencies, including cardiac and breathingemergencies in adults and infant/child.

Trauma-Informed Care

- Ensuring client's physical, emotional, safety and wellbeing are taken into account when providing services.

PRO-Act Training

- Training to help identify core problem with clients to resolve in a constructive manner whilealso maintaining a safety environment for both me and the client.

Housing First

- Trained in the Housing First approach to work with clients successfully transition into permanency housing.

Additional Trainings:

- Leadership Development
- Conflict Resolution
- Motivational Interviewing

Education

Journey High School Graduate 2005

MELISSA REECE

707-483-3826 melissareece37@yahoo.com

6/2016 – PRESENT- CATHOLIC CHARITIES OF THE DIOCESE OF SANTA ROSA

ASSISTANT DIRECTOR-REGIONAL SITES AND COMMUNITY RECOVERY

SENIOR PROGRAM MANAGER-LAKE CO PROGRAMS AND COMM RECOVERY

PROGRAM MANAGER, DISASTER CASE MANAGER, CONSTRUCTION ANALYST

Assistant Director, providing leadership and Management of Community Recovery and Regional Sites division. Oversight of Community recovery Programs. Program development, training, implementation. Program Management for DCM and Construction Management team supervision/Management across a 4 County region. All stages of disaster recovery Relief, Response, Recovery, Preparedness. Disaster Case Management and advocacy for rebuilding homes and addressing Unmet Needs of Disaster Survivors and Communities. Working in conjunction with local and national organizations, Voluntary Agencies Active in Disaster, Long Term Recovery Groups, and local Emergency Operations Centers. COAD development and implementation, Executive Chair of Unmet Needs for local Long Term Recovery Group. Construction Analyst responsible for monitoring fluctuation in building costs in the affected disaster areas, cost analysis, reviewing bids for feasibility, working with DCM to prepare for funding presentations, applying resources to include CalHome loan programs, coordinating with Long Term Recovery Groups Construction Committee for building resources and volunteer builds. Monitoring rebuild progress/data entry for clients and keeping apprised of trends related to building progress or barriers for permitting, code updates or regulation in burn communities. Identifying service gaps and implementing Catholic Charities services to rural communities to include food pantry, financial stability, tax preparation, application assistance, nutrition education.

12/2014-6/2016--INCLUSIVE EDUCATION AND COMMUNITY PARTNERSHIP (IECP)

BEHAVIOR THERAPIST,

Render Behavior Therapy using Applied Behavior Analysis techniques to clients with non-neuro typical disabilities. Provide support in schools, daycares and family homes. Assist families and teachers to ensure an inclusive environment and help modify behaviors of both students and adults for positive outcomes. Develop curriculum and activity planning to support goals related to client assessment and behavior support plan. Track progress and outcomes and provide detailed time sensitive reports.

11/2001-4/2013

SOCIAL WORKER- Lake Co Dept Social Services. Adult Services Department

Performed In Home Assessments and evaluated eligibility for In Home Support hours and referrals for other services and social programs and intensive case management for up to 45 cases.

Outreach Worker (Sutter Lakeside Hospital), Self Sufficiency Specialist, Eligibility Worker: Initial intake and ongoing case management for up to 450 cases.
Determined eligibility for hospital medical programs, CalFresh, Medi-Cal, CalWorks, General Relief, Employment and Training program including participant contracts and supportive services.

EDUCATION

Sacramento State- Early Childhood Education, Applied Behavior Analysis, IHSS training Academy
UCDavis Ext-Center for Human Services: Human Development
Yuba College-Early Childhood Education, Child Development
Allied Real Estate School-Real Estate Principles, Practices and Property Management

Credentials/Certificates:

- NCRC/RCAC Housing Counseling Certificate. NCCC Credit Counseling Certificate
- Credentialed Pre-School Teacher-associate teaching and site administration
- CPI blue card- Non-Violent Crisis Intervention Trainer
- Domestic Violence Prevention-certificate
- Small business management-certificate
- Hilti-Forklift operator certificate
- CPR/First Aid/survival and AED- CERT trained
- **FEMA** Emergency Management Certificates/**CalOes** California Specialized Training Institute certificates IS-00403, IS-00772, IS-00276.a, IS-01150, IS-00320, IS-00317.
- IRS Advance Tax Preparer certificate.
- California Notary Public
- F Licensed Soccer Coach
- Water safety and open water swim instructor certificate- Lifeguard

ACTIVITIES AND BOARDS

- Founding member, Interim Director-Lake County COAD
- Chair, Unmet Needs Committee Team Lake County LTRG
- Property Management- Commercial and Residential, and small business owner/operator
- Construction laborer volunteer: Home building all phases for stick build and manufactured homes, permitting, lot Prep, foundation, subfloor, rough Plumbing/electrical, framing, finishing (flooring, cabinetry, sheetrock texture and taping) light landscaping
- Youth Center Coordinator Volunteer: Fundraising, events coordination and activities instructor
- Volunteer-Suicide Hotline operator- peer counselor
- Credentialed Preschool Teacher paid and volunteer
- F licensed Soccer Coach u-14-volunteer

MARIA ARREGUIN

(707) 596-0386

maria.arreguin@live.com

www.linkedin.com/in/maria-arreguin/

PROFESSIONAL SUMMARY

Bilingual, bicultural, interpersonal, and ethical Housing Counselor with eight years of experience working with diverse populations motivating, educating, and helping them to achieve their personal and housing goals.

QUALIFICATIONS

- Interpersonal
- Bilingual (English and Spanish) and bicultural
- Attention to detail
- Research/computer skills
- Cross-cultural understanding
- Costumer service

EXPERIENCE

Catholic Charities of the Diocese of Santa Rosa,
Bi-lingual Housing Counselor February 2020- Present

- Developed a housing, financial, and self-sufficiency case management plan with clients that includes an intake interview to determine clients' needs, goals, and eligibility.
- Explained Credit report ratings and protection laws to clients, and answered to clients' questions.
- Acted as an advocate for and liaison between Clients and property managers, clients and other resource providers and organizations.
- Assisted Clients in locating, securing, or maintaining housing of their choice.
- Educated Clients on fair housing and their rights and responsibilities as tenant.
- Supported program manager with training new employees and completing reports for grants.

Catholic Charities of the Diocese of Santa Rosa,
Bi-lingual Disaster Recovery Case Manager II April 2018 - February 2020

- Triaged and screened potential clients needing recovery case management
- Maintained the highest levels of confidentiality regarding client information
- Performed interviews and initial assessment via phone or in person
- Engaged each client to cooperatively participate in the development, implementation, and ongoing review of an individualized disaster recovery plan
- Acted as an advocate for and liaison between Clients and other resource providers and organizations

Brook Haven Middle School, Sebastopol Union School District
Instructional Support Specialist- Bilingual August 2017- April 2018

- Provided instructional and general clerical support to teachers
- Prepared and maintained a variety of files and records for assigned program
- Interpreted in Individualized Education Program (IEP) and parent-teacher meetings

- Served as a liaison between Spanish-speaking families and school administration
- Supervised students on the playground and in the cafeteria

Santa Rosa Junior College, English as a Second Language Department
Cultural Liaison August 2013- January 2018

- Supported college professors in a multilevel and multicultural classroom
- Outreached in the community by promoting educational opportunities for adult students
- Filed documents
- Administered the CBET Family Literacy Program
- Enrolled students in classes, and assisted students with the completion of forms and applications
- Referred students to on and off campus services

Santa Rosa Junior College, English as a Second Language Department
Comprehensive Adult Student Assessment Systems Test Proctor January 2014- January 2018

- Proctored and monitored CASAS Test for English as a Second Language students
- Supervised students
- Interpreted and translated for Spanish-speaking students
- Checked and organized test forms, highly organized and efficient and aware of confidentiality

Santa Rosa Junior College, Disability Resources Department
Mobility Assistant June 2014- May 2016

- Helped students navigate the campus and classroom
- Adapted the classroom to the students' needs
- Transcribed class assignments and took notes

EDUCATION

HUD Housing Counselor Certificate, HUD May 2021

- **BA Sociology,** Sonoma State University May 2017
- **Human Resource Management Certificate,** Sonoma State University May 2017
- **AA Sociology,** Santa Rosa Junior College May 2015
- **AA Social and Behavioral Sciences,** Santa Rosa Junior College May 2015

Coursework include:

- Life Span Development
- Social Welfare and Social Work
- Sociology of Families
- Sociology of Gender

Reference available upon request

Verenice Portales

vportales@srcharities.com–
(707)-867-7314

References: Upon Request

Degree:
Sonoma State University
Graduation: Spring 2018 Degree: B.A Psychology, Minor in Spanish
Additional Skills: Bilingual, Elementary Italian, HUD Certified, CPR Certified, Crafting **Language**: Spanish and English
Honors: Psychology Dean's List Spring, Fall 2016

Work Experience:
Renaissance and Healing Center, Rohnert Park, CA- *Volunteer*
February 2018-July 2018
- I assisted with the horses by grooming them and setting them with their saddles and reins
- Prepared and positioned horses for visitors to ride
- Worked closely with children and adults with physical and mental disabilities by administering mobility exercise and cognitive understanding

Dollar Tree, Cotati, CA- *Cashier*
October 2017- February 2019
- Operated cash register by handling customer transactions while also providing excellent customer service
- Ensured each customer received outstanding customer service by providing them with information on products and by directing them to the correct place to find them
- Made sure that each department was stocked by filling empty shelves in the appropriate manner

Catholic Charities of Santa Rosa, Santa Rosa, CA- *Bilingual Resource Connecter Feb 2019-Feb 2020, Bilingual Service Navigator 2 Feb 2020-Nov 2021, Bilingual Financial Stability Specialist (HUD Certified) Nov 2021- Present*
February 2019– Present
- Assisted clients with resources such as application assistance for Medical and Calfresh by handling personal information
- Assisted with Free Tax Preparation by answering questions, translating and preparing and reviewing taxes
- I have ITIN knowledge and experience to communicate with individuals
- I worked with high risk clients, such as undocumented indivduals, human traffiked survivors and the homeless population to provide them with resources such as food and clothing

Extracurricular & Volunteer Experience
SCAA of Sigma Lambda Gamma National Sorority Inc. , Sacramento, CA- *Member*
June 2021- August 2021
- Collaborated with 2 sorority sisters to organize a fundraiser to raise funds for sorority by marketing on social media and hand making products

Catholic Charities Family Support Center, Santa Rosa, CA- *Volunteer*
November 2015- May 2016
- I assisted in the care of children in different age groups by providing them with snacks and assisting them with age appropriate activities

Divine Leaders, Rohnert Park, CA- *President, and Community Service Chair*
August 2014- May 2017
- Coordinated Community Service events and promoted Women Empowerment by creating and hosting events

Rocio Salinas

Phone: 707-867-8379 E-Mail: rsalinas@srcharities.org

Experience

HUD Certified Bilingual Case Manager II, Financial Stability Program **February 2020- Present**
Catholic Charities of Santa Rosa

- Prescreen clients for program eligibility
- Complete intake to identify housing needs
- Create client housing goals\action plan
- Provide counseling on rental topics, credit, finances and fair housing
- Provide rental leads and support in housing location
- Connect client to internal programs and external agencies
- Submit client assistance requests to support housing stability
- Facilitate HUD training cohort
- Support supervisor in program work flow and program process
- Complete monthly reports related to funding

Disaster Case Manager II, Community Recovery **August 2018- February 2020**
Catholic Charities of Santa Rosa

- Completed Intakes and triages to identify losses and needs of clients
- Determined short and long term cases
- Reviewed and determined eligibility for programs
- Connected clients with local resources
- Prepared and presented cases for financial assistance, construction support or Section 8 Voucher
- Created client recovery goals
- Supported clients in completing and submitting section 8 applications
- Supported clients in rental searches, submitting rental applications and landlord engagement
- Submitted client assistance requests related to home rebuilds and securing permanent housing
- Supported team with on boarding process and training of oncoming employees
- Facilitated meetings

Education

HUD certificate **May 2021**

Butte College **2010-2012**
General education

Skills

Bilingual and bicultural

Proficient in excel, word and outlook

WENDY GATTONI

Work: (707) 867-6144 · Cell: (707) 494-3335
Mailing: PO Box 415 Middletown, CA 95461
Email: wgattoni@srcharities.org

EXPERIENCE

CATHOLIC CHARITIES -LAKE COUNTY

FINANCIAL STABILITY CASE MANAGER

FEBRUARY 1ST 2022 – PRESENT

Maintains cases for families and individuals who need support to find, secure, or maintain permanent affordable housing or who require support with financial education and resources. Develop solutions and provide support with Housing Affordability, Financial Management, Fair Housing Education and Credit Counseling. Develop a housing procurement, financial, and self-sufficiency case management plan with client that includes intake interview, determining client needs, goals, and eligibility. Collect data, documents and needed verifications for program. Review and maintain client caseload. Link families and individuals to appropriate referrals and programs. Maintain confidentiality with client information.

CATHOLIC CHARITIES -LAKE COUNTY

DISASTER CASE MANAGER

FEBRUARY 2019 – PRESENT

Responded to community disasters as needed. Performed intake, triage, and assessments for disaster survivors. Communicate important information to clients. Provide case management, referrals, coordinate services, and provide direct client assistance to survivors. Keep accurate and detailed data records for each case along with maintaining confidentiality. Assist with Food distributions as needed providing outreach for disaster preparedness. Provide case management and Financial Stability direct assistance for clients impacted by COVID19. Performed intakes, collected information, documents, and verifications to assess clients need and eligibility. Assisted client with budgeting and goal setting.

COUNTY OF LAKE – PUBLIC HEALTH DEPARTMENT

ORAL HEALTH PROGRAM COORDINATOR

DECEMBER 2018 – FEBRUARY 2019

Plan, develop, organize and coordinate the oral health program. Coordinate and facilitate Oral Health Advisory Committee and committee meetings. Plan and coordinate outreach and education events in the community. Provide oral health lessons to children and adults in the community. Purchasing for the oral health program which includes balancing the program budget. Completed detailed quarterly reports to the State. Daily time tracking. Wrote quarterly newsletter for the Oral Health program. Supervision and training of Oral Health Program assistant.

COUNTY OF LAKE – PUBLIC HEALTH DEPARTMENT

ORAL HEALTH PROGRAM SUPPORT SPECIALIST II

SEPTEMBER 2018– DECEMBER 2018

Research and analyze oral health data and assist with development of Oral Health Program. Oral health outreach and education. Clerical and data entry support for oral health program.

LAKE COUNTY OFFICE OF EDUCATION – HEALTHY START PROGRAM

FAMILY ADVOCATE, FOSTER YOUTH EDUCATION LIASON, DIFFERENTIAL RESPONSE CASE MANAGER

OCTOBER 2006 – AUGUST 2018

Connect families and students to community resources, provide basic needs to students and families (clothing, food, school and hygiene supplies). Oral Health case management: plan, coordinate and transport students to dental appointments, organize Oral Health Screenings and Oral Health Sealant clinics for elementary and preschool students. Assist, mentor and advocate Foster youth students. Case management including home visits providing strength based family support to differential response referred families. Collect and enter data for quarterly reporting.

Achievements: 2014 Lake County Star Award – Youth Advocate of the Year

EDUCATION

2013

ASSOCIATE OF SOCIAL & BEHAVIORAL SCIENCE, CLEARLAKE COMMUNITY COLLEGE

1983

HIGH SCHOOL DIPLOMA, RANCHO COTATE HIGH SCHOOL

WENDY GATTONI

18566 Grange Road Middletown, CA 95461 · Home: (707) 987-8835 · Cell: (707) 494-3335

4GATTONI@ATT.NET

SKILLS

- Microsoft Word, Excel, Power Point
- Data Entry
- Organized
- Coordination

ACTIVITIES

2018 Middletown High School Sober Grad Committee President

Spirit of the Season Volunteer

REFERENCES

Available upon request

Adrian Arias

Disaster Recovery Case Manager

Email: aarias3005@gmail.com
Address: Santa Rosa, CA
Phone: (707)543-6044

OBJECTIVE

Secure a career opportunity to fully make use of my training and skills while also expanding my knowledge and learnings.

EXPERIENCE

Santa Rosa, CA
Aug 2019 - Present

Disaster Recovery Case Manager III

Catholic Charities of the Diocese of Santa Rosa

- Trained, and supervised new staff members.
- Identify people in need of services and referrals.
- Create, implement, assist and maintain individual goals plans with clients.
- Work with clients to navigate resources.

Santa Rosa, CA
Mar 2018 - Jul 2018

Property Inspector

Alpha Fire Suppression Systems

- Reporting to foreman on project status.
- Inspecting newly installed fire sprinkler systems.
- Replacing outdated fire sprinkler systems.

Santa Rosa, CA
Mar 2017 - Dec 2017

Youth Advocate

The SAY Dream Center

- Answered calls, responded to emails, and spoke with clients face-to-face.
- Provide immediate response to range of crisis presented by youth.

EDUCATION

Rohnert Park, CA
Aug 2015 - Aug 2017

Bachelor's Of Art: Sociology

Sonoma State University

Santa Rosa, CA
Sep 2012 - Aug 2015

Associate's Degree: Social and Behavioral Sciences

Santa Rosa Junior College

SKILLS

- Time Management
- Problem-Solving
- Teamwork
- Task Prioritizing

LANGUAGES

Spanish

CERTIFICATIONS & COURSES

Certified Credit Counselor.

I. ORG CHART - CDBG DR

Chief Executive Officer *Len Marabella*								
Chief Program Officer *Jennielynn Holmes*						Chief Administrative Officer *Sharon Vaughn*		
Director, Financial Stability & Crisis Response *Amy Holter*							Controller *Alberto Diaz*	
Assistant Director, Community Recovery ***Melissa Reese***			Assistant Director, Financial Stability *Vacant - Hiring*			Grants Accountants (3)	Staff Accountant	Grants Compliance Manager Doria Trombetta
Senior Manager, Disaster Preparedness & Recovery	**Manager, Community Recovery** ***Martha Zuniga***	Program Support III, Community Recovery	**Manager Financial Stability** ***Felix Carvajal***	Case Manager, Financial Stability III	Program Support II, Financial Stability			
Construction Analyst	**Case Manager, Community Recovery III** **HUD Certification Pending** ***Adrian Arias***		**Case Manager, Financial Stability II, HUD Certified** ***Maria Arreguin***	Case Manager, Financial Stability II				
	Case Manager, Community Recovery II ***Vacant - Hiring***		**Case Manager, Financial Stability II, HUD Certified** ***Rocio Salinas***	**Case Manager, Financial Stability II, HUD Certified** ***Verenice Portales***				
			Case Manager, Financial Stability III, HUD Certification Pending ***Wendy Gattoni***					

*Bolded Positions directly Administer CDBG DR Housing Counseling Grant

AVAILABILITY CHART				
Title	**Immediate Availability**	**Availability in a Year**	**% for CDBG-DR Work**	**Time to other projects**
Director, Financial Stability & Crisis Response	Yes	Yes	10%	90%
Assistant Director, Financial Stability	No; open position	Yes	10%	90%
Assistant Director, Community Recovery	Yes	Yes	15%	85%
Manager, Financial Stability	Yes	Yes	15%	75%
Manager, Community Recovery	Yes	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%
Case Manager, Financial Stability II	Yes; HUD Certified	Yes	25%	75%

Case Manager, Financial Stability III	No; not yet HUD Certified	Yes	25%	75%
Case Manager, Community Recovery III	No; not yet HUD Certified	Yes	75%	50%
Case Manager, Community Recovery II	No; not yet HUD Certified	Yes	75%	50%