DATE	April 20, 2023
TIME	12:00 pm
LOCATION	CAPK Administrative Office 5005 Business Park North Bakersfield, CA 93309

Audit & Pension Committee Agenda

1. **Call to Order**

2. **Roll Call**

Curtis Floyd (Chair)	Jeff Flores	Guadalupe Perez
Jimmie Childress	Yolanda Ochoa	

3. **Public Forum**

The public may address the Committee on items not on the agenda but under the jurisdiction of the Committee. Speakers are limited to 3 minutes. If more than one person wishes to address the same topic, the total group time for the topic will be 10 minutes. Please state your name before making your presentation.

4. **New Business**

a.	Pension Plan Update for Q4 2022– ***Info Item (p. 2-12)***	Tom Ming, Pensionmark
b.	The Standard Update – ***Info Item (p. 13-26)***	Ken Schlosser, The Standard
c.	LIHEAP Contract #21B-5012 Close-Out Letter – ***Info Item (p. 27-31)***	Wilfredo Cruz, Energy Program Administrator
d.	Department of Community Services & Development (CSD) LIHWAP Monitoring Report – ***Info Item (p. 32-35)***	Wilfredo Cruz, Energy Program Administrator
e.	Department of Community Services & Development (CSD) Comprehensive Inspection Report (CIR) – ***Info Item (p. 36-41)***	Wilfredo Cruz, Energy Program Administrator
f.	First 5 Kern Evaluation Site Report of East Kern Family Resource Center (EKFRC) – ***Info Item (p. 42-46)***	Freddy Hernandez, Director of Youth & Community Services
g.	WIC Single Audit Report Review for Fiscal Year 2021 – ***Info Item (p. 47-48)***	Lorna Speight, WIC Program Administrator

5. **Committee Member Comments**

6. **Next Scheduled Meeting**

Audit & Pension Committee
12:00 pm
August 17, 2023
5005 Business Park North
Bakersfield, CA 93309

7. Adjournment

This is to certify that this Agenda Notice was posted in the lobby of the CAPK Administrative Office at 5005 Business Park North, Bakersfield, CA and online at www.capk.org by 5:00 pm, April 14, 2023. Paula Daoutis, Administrative Coordinator.

Audit & Pension Committee Meeting

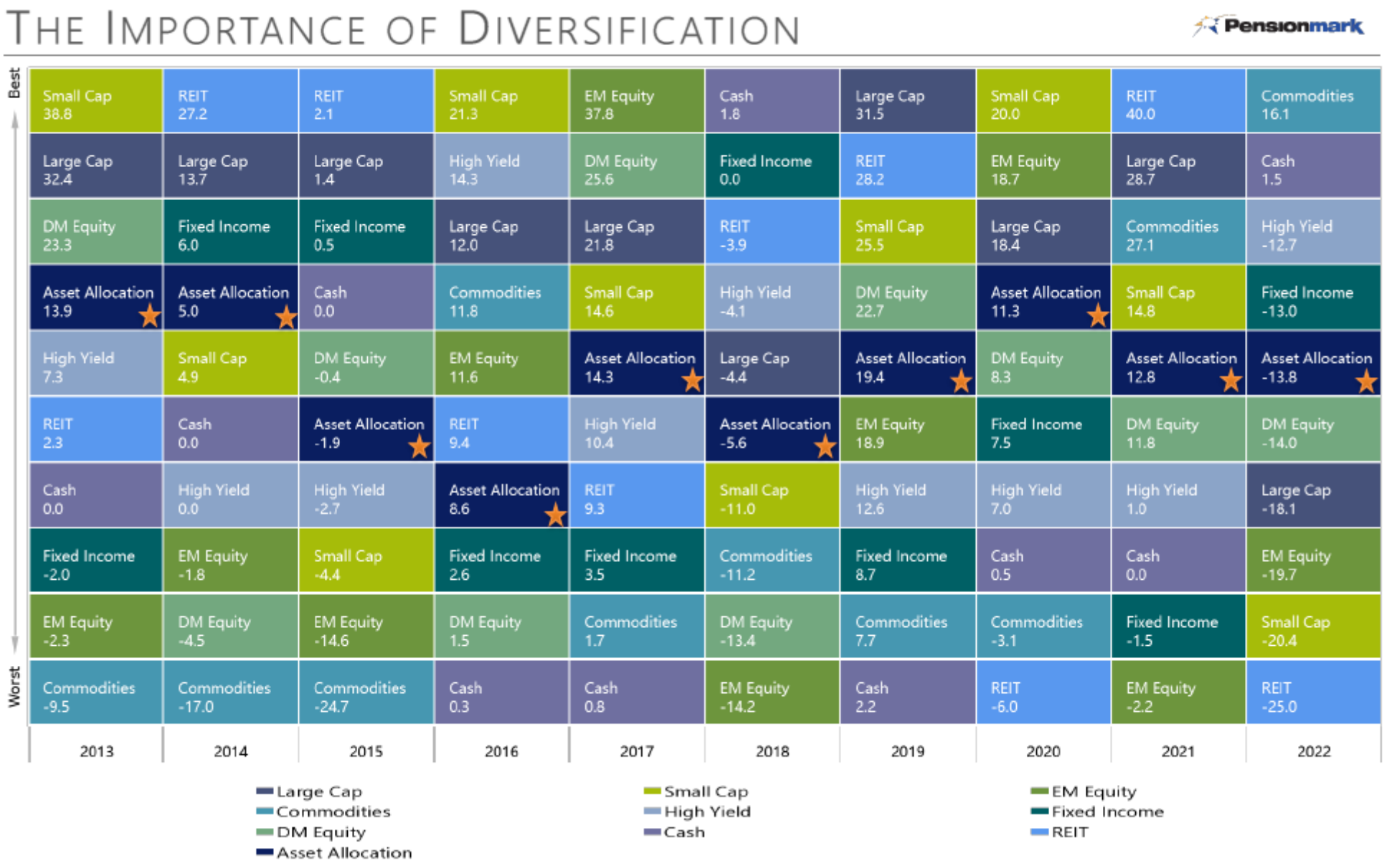
April 20, 2023

Pensionmark Financial Group, LLC ("Pensionmark") is an investment adviser registered under the Investment Advisers Act of 1940. Financial Advisors at Pensionmark may also be registered representatives of CapFinancial Securities, LLC (member SIPC), which is affiliated with Pensionmark through common ownership.

Domestic Equity

- The S&P 500 rallied in the fourth quarter, gaining 7.6%. The index ended down 18.1% for the year, it's worst calendar year performance since 2008.
- Markets gained on the back of signs that persistently high inflation may have peaked and the Federal Reserve's decision to slow interest rate hikes.
- Large Cap (Russell 1000) outperformed Small Cap (Russell 2000).
- Value (Russell 1000 Value) outperformed Growth (Russell 1000 Growth).
- Energy, Industrials, and Basic Materials were the best performing sectors during the quarter. Technology, Communication Services, and Consumer Discretionary were the worst performing sectors.
- The worst performing sector, Consumer Discretionary, was led lower by steep declines in stocks like Tesla and Amazon.

The Importance of Diversification



Executive Summary

Investment Scoring Summary

Passing	Watch	Review	Not Scored	Total
21	2	2	1	26

Investment Additions

Investment Name	Status	Morningstar Rating
No current investment additions		

Investments on Watch

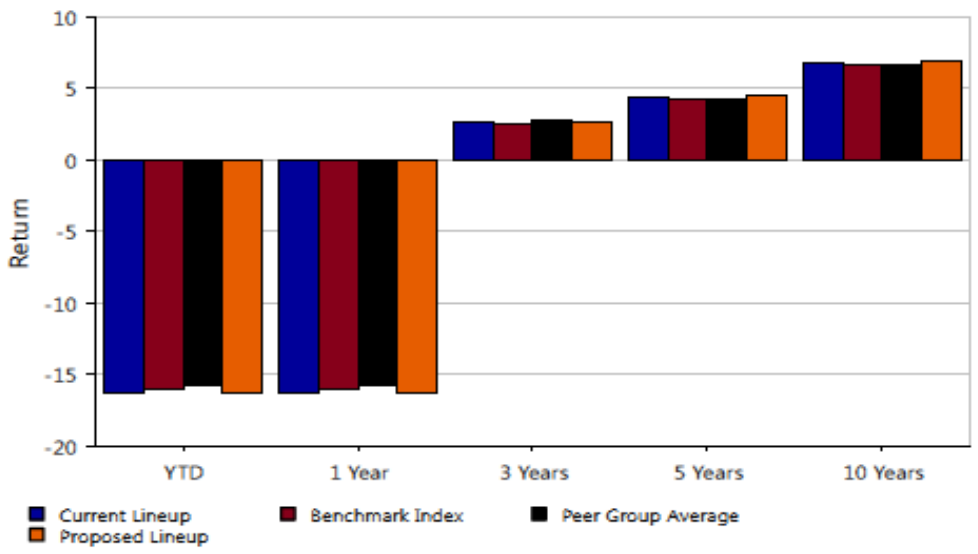
Investment Name	# of Participants	Plan Assets	% of total plan	Status	Quarters Failing Criteria	Morningstar Rating
Allocation--50% to 70% Equity						
Putnam Dynamic Asset Allocation Bal Y	24	$87,392.09	1.21%	Watch	3	***
Large Growth						
TIAA-CREF Large-Cap Growth Inst	42	$183,688.79	2.54%	Watch	2	****

Investments Targeted for Review

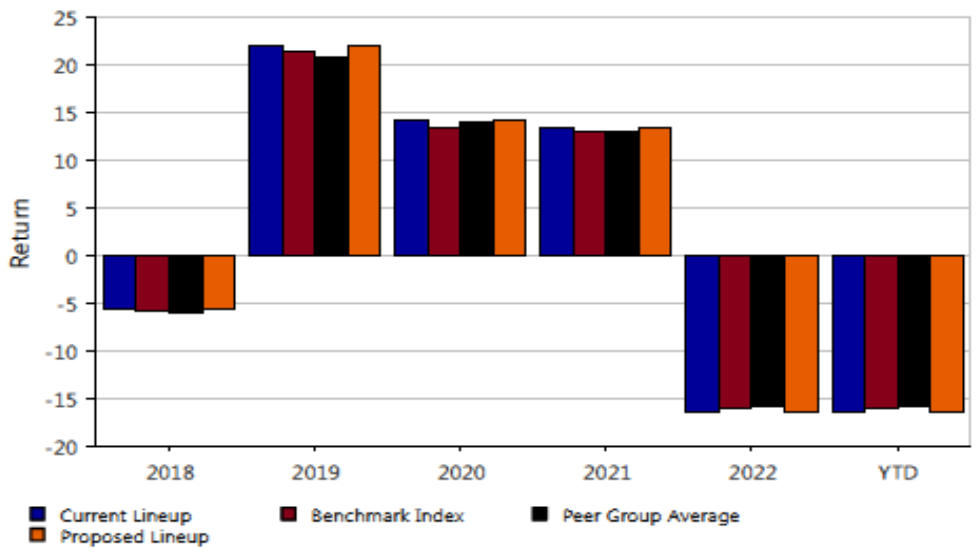
Investment Name	# of Participants	Plan Assets	% of total plan	Status	Morningstar Rating
Allocation--30% to 50% Equity					
Putnam Dynamic Asset Allocation Cnsrv Y	11	$60,325.29	0.83%	Review	***
Small Growth					
Janus Henderson Triton T	24	$58,704.04	0.81%	Review	****
Vanguard Explorer Adm	0			Passing	****

PORTFOLIO | RETURNS

Annualized Returns



Calendar Year Returns



Trailing Returns

	YTD	1 Year	3 Years	5 Years	10 Years	Net Exp.Ratio
Current Lineup	-16.38	-16.38	2.64	4.45	6.85	0.15
Benchmark Index	-16.10	-16.10	2.46	4.22	6.71	NA
Peer Group Average	-15.83	-15.83	2.73	4.22	6.66	0.73
Proposed Lineup	-16.38	-16.38	2.67	4.48	6.86	0.15

Calendar Year Returns

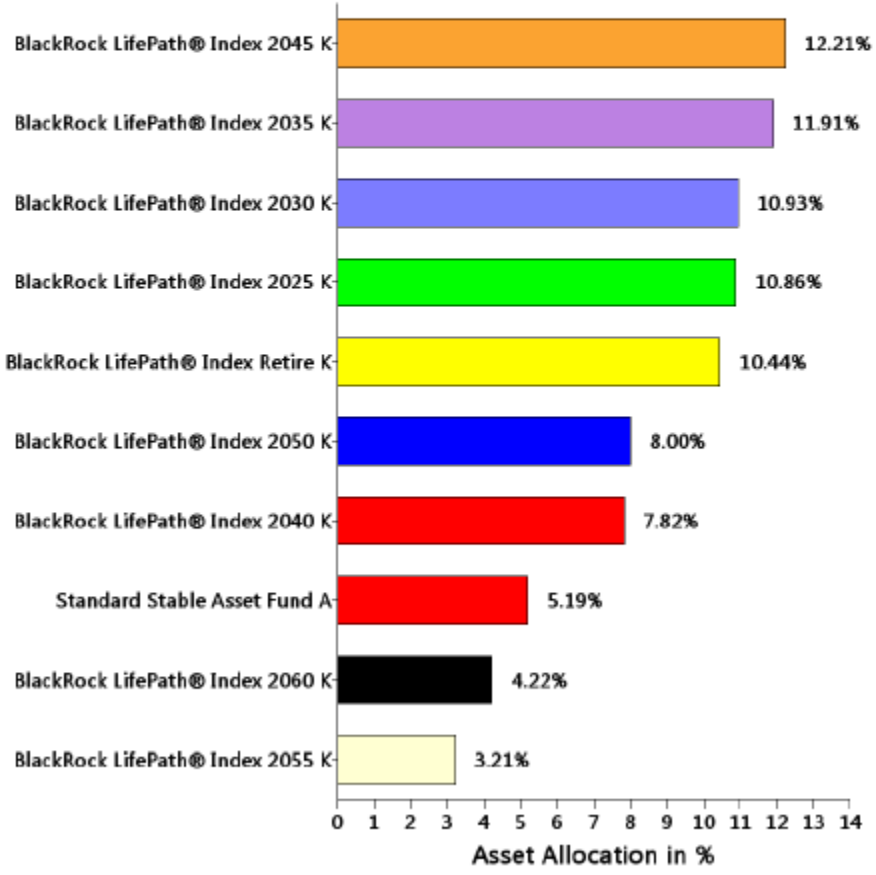
	2018	2019	2020	2021	2022	YTD	Net Exp.Ratio
Current Lineup	-5.68	21.90	14.15	13.28	-16.38	-16.38	0.15
Benchmark Index	-5.84	21.38	13.47	12.98	-16.10	-16.10	NA
Peer Group Average	-6.05	20.72	14.00	12.99	-15.83	-15.83	0.73
Proposed Lineup	-5.66	21.93	14.17	13.36	-16.38	-16.38	0.15

The Benchmark Index is constructed utilizing the underlying indexes of the Plan's investment options weighted in proportion to the asset allocation of the Plan. The underlying indexes are illustrated on the standardized performance pages of the report. For source information, please see the "Important Disclosures" section of this report.

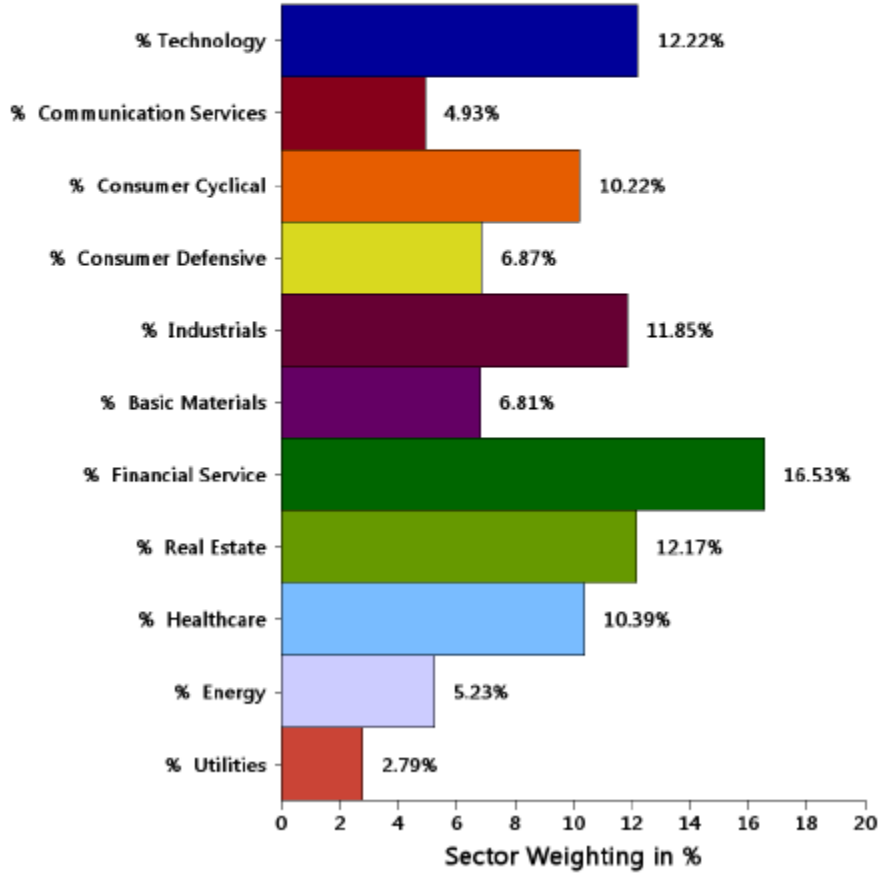
The performance data quoted represents past performance. Past performance does not guarantee future results. Investment return and principal value will fluctuate so that an investor's shares, when redeemed, may be worth more or less than their original cost. Current performance may be lower or higher than the performance information quoted. The performance quoted reflects the reinvestment of dividends and capital gains and is net of all expenses. To obtain current month-end performance information, please contact the phone number located in the "Important Disclosures" section of this report.

PORTFOLIO | HOLDINGS & SECTOR ALLOCATION

Top 10 Holdings



Sector Allocation



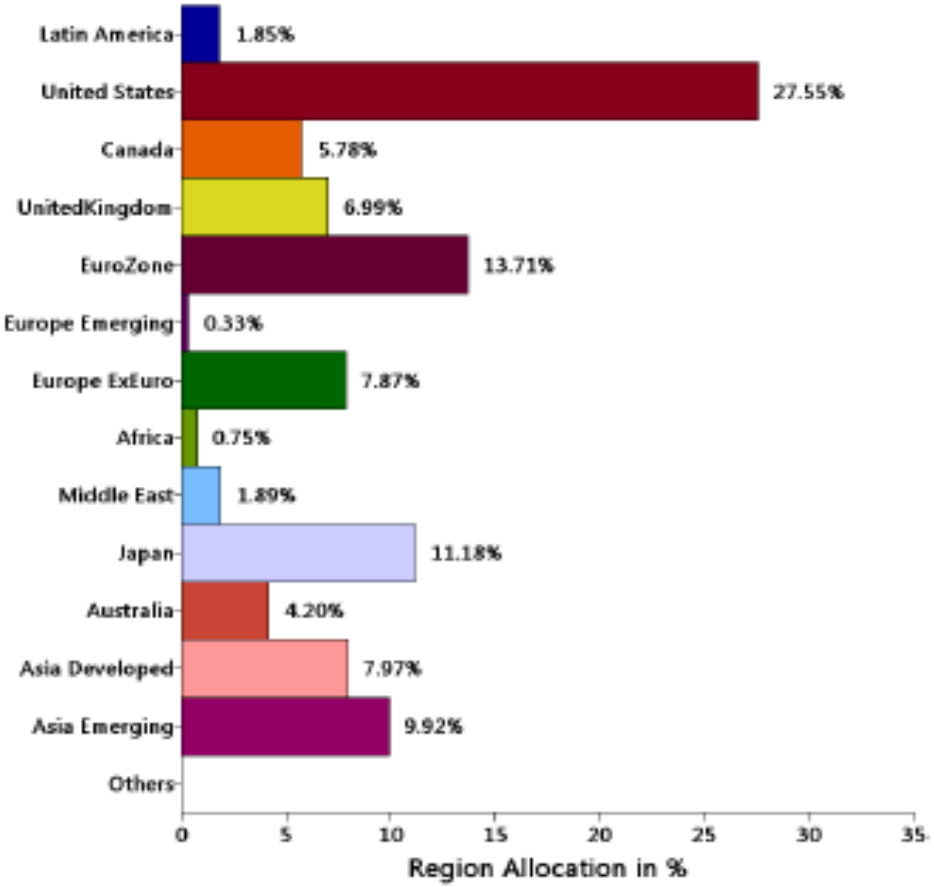
For source information, please see the "Important Disclosures" section of this report.

CAPK

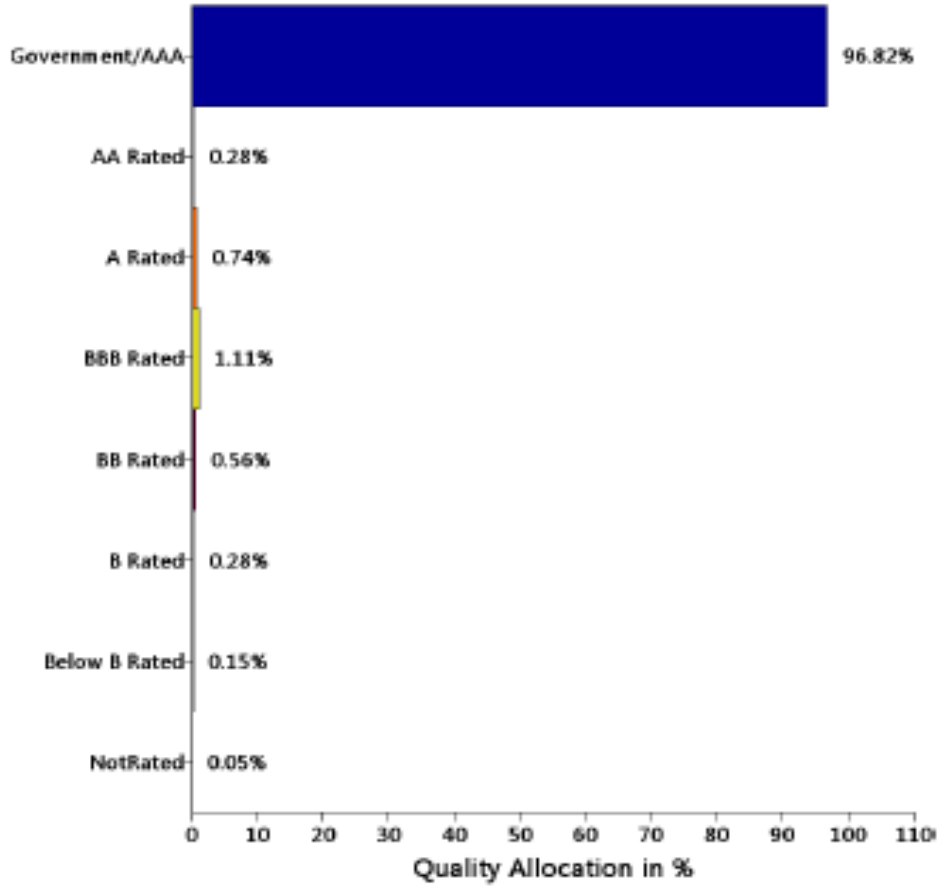
PORTFOLIO | REGION & QUALITY ALLOCATION

Pensionmark

Region Allocation



Quality Allocation



or source information, please see the "Important Disclosures" section of this report.

Investment Review- 100 Point Scoring

Investment Scorecard | Current & Historical Scoring

Pensionmark

Investment Name	Current Status	# of Participants	Assets	% of Plan	Q3/22	Q2/22	Q1/22	Q4/21	Q3/21	Q2/21	Q1/21
Intermediate Core Bond											
Vanguard Total Bond Market Index Adm - VBTLX	100	37	$78,119.97	1.08%	100	100	100	92	92	92	92
Allocation--30% to 50% Equity											
Putnam Dynamic Asset Allocation Cnsrv Y - PACYX	60	11	$60,325.29	0.83%	64	62	70	68	74	78	70
Allocation--50% to 70% Equity											
Putnam Dynamic Asset Allocation Bal Y - PABYX	66	24	$87,392.09	1.21%	70	69	71	73	74	72	66
Allocation--70% to 85% Equity											
Putnam Dynamic Asset Allocation Gr Y - PAGYX	75	9	$198,742.05	2.75%	77	72	82	80	77	79	75
Target-Date Retirement											
BlackRock LifePath® Index Retire K - LIRKX	83	41	$754,272.49	10.44%	83	86	91	90	90	90	90
Target-Date 2025											
BlackRock LifePath® Index 2025 K - LIBKX	72	71	$784,931.62	10.86%	73	77	80	79	79	81	82
Target-Date 2030											
BlackRock LifePath® Index 2030 K - LINKX	75	93	$790,159.96	10.93%	77	82	81	76	77	77	78
Target-Date 2035											
BlackRock LifePath® Index 2035 K - LIJKX	79	83	$860,346.04	11.91%	81	86	85	84	79	79	79
Target-Date 2040											
BlackRock LifePath® Index 2040 K - LIKKX	79	73	$565,240.30	7.82%	83	90	87	82	82	82	82
Target-Date 2045											
BlackRock LifePath® Index 2045 K - LIHKX	81	109	$882,543.99	12.21%	85	88	89	85	80	81	81
Target-Date 2050											
BlackRock LifePath® Index 2050 K - LIPKX	87	105	$576,197.95	8.00%	87	91	90	87	86	86	81

Investment Review- 100 Point Scoring

Investment Scorecard | Current & Historical Scoring

Pensionmark

Investment Name	Current Status	# of Participants	Assets	% of Plan	Q3/22	Q2/22	Q1/22	Q4/21	Q3/21	Q2/21	Q1/21
Target-Date 2055											
BlackRock LifePath® Index 2055 K - LIVKX	88	84	$232,086.71	3.21%	90	89	90	87	85	84	81
Target-Date 2060											
BlackRock LifePath® Index 2060 K - LIZKX	84	121	$305,238.40	4.22%	86	87	88	83	80	82	79
Large Value											
MFS Value R6 - MEIKX	83	20	$88,543.21	1.23%	80	75	76	88	90	82	85
Large Blend											
iShares S&P 500 Index K - WFSPX	100	25	$80,666.35	1.12%	100	100	100	100	100	100	100
Large Growth											
⚠ TIAA-CREF Large-Cap Growth Inst - TILGX	68	42	$183,688.79	2.54%	68	71	75	82	87	93	98
Mid-Cap Value											
Allspring Special Mid Cap Value Inst - WFMIX	95	7	$4,381.98	0.06%	93	93	92	90	82	82	81
Mid-Cap Blend											
Vanguard Mid Cap Index Admiral - VIMAX	100	7	$54,958.43	0.76%	100	100	100	100	100	100	100
Mid-Cap Growth											
MassMutual Mid Cap Growth I - MEFZX	77	37	$99,147.11	1.37%	71	73	72	72	70	67	68
Small Value											
DFA US Targeted Value I - DFFVX	94	33	$29,283.88	0.41%	96	96	96	92	87	85	85
Small Growth											
✖ Janus Henderson Triton T - JATTX	69	24	$58,704.04	0.81%	66	66	70	71	69	66	66
Vanguard Explorer Adm - VEXRX	93	0			88	93	90	86	84	83	86
Vanguard Explorer Adm - VEXRX	93	0	$0.00	0.00%	88	93	90	86	84	83	86

Investment Review- 100 Point Scoring

Investment Scorecard | Current & Historical Scoring

Pensionmark

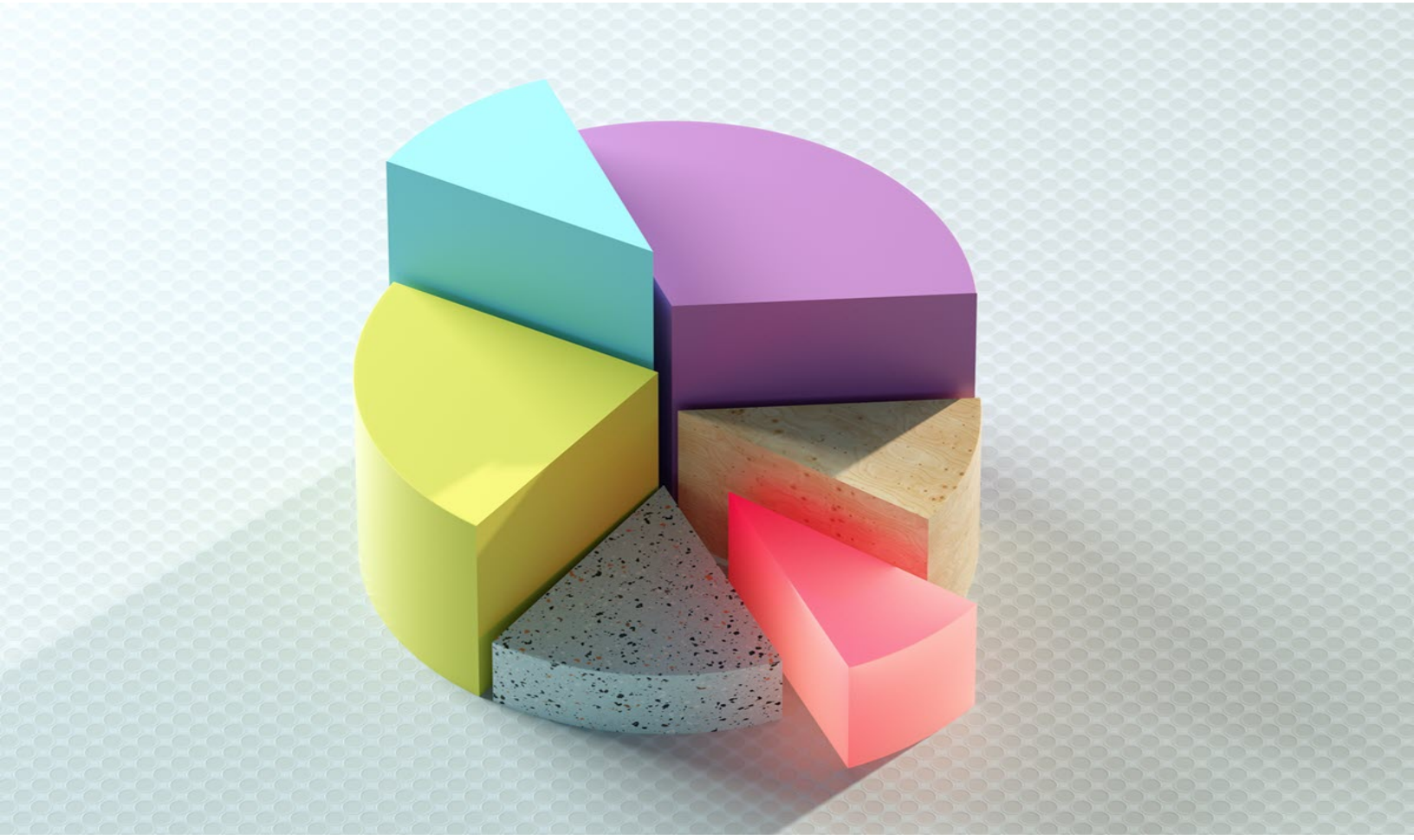
Investment Name	Current Status	# of Participants	Assets	% of Plan	Q3/22	Q2/22	Q1/22	Q4/21	Q3/21	Q2/21	Q1/21
Foreign Large Blend											
Hartford International Opportunities R6 - IHOVX	84	5	$12,101.63	0.17%	90	84	90	90	88	87	88
Diversified Emerging Mkts											
American Funds New World R6 - RNWGX	92	31	$52,947.55	0.73%	92	94	97	97	95	95	95
Real Estate											
Principal Real Estate Securities Inst - PIREX	88	3	$8,843.88	0.12%	90	85	86	88	90	90	86

Review : Watch : Addition :

Denotes potential addition or replacement option(s). Option(s) are subject to final approval as platforms may discontinue option availability.
For source information, please see the "Important Disclosures" section of this report. Please see further details on the scoring methodology in the "Investment Scoring Methodology" section of this report.

Community Action Partnership of Kern 403(b) Plan

Plan Review



As of Mar 31, 2023

Table of Contents

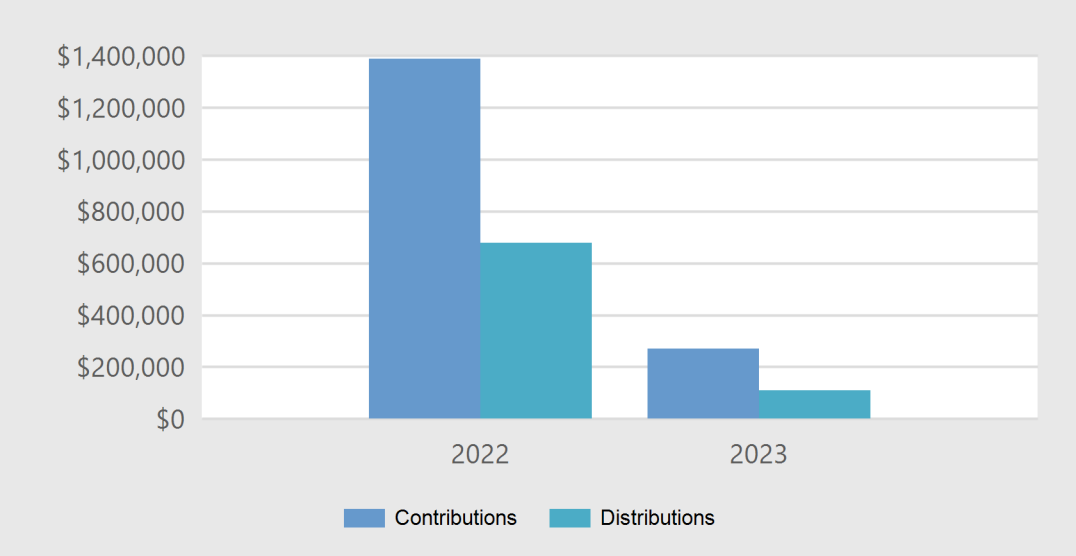
Plan Flow	3
Contributions and Distributions	4
Participation	5
Participant Contributions	6
Average Account Balance	7
Guided Portfolios	8
Participation by Fund	9
Terminated Participants	10
Web Usage	11
Leveraging Plan Services	12
Executive Summary	13

Plan Flow

Plan flow information shows the key factors that can influence your plan's assets, such as contributions, distributions and the market performance.

What has the greatest effect on your plan’s assets?

	Contributions	Distributions	Market Impact	Ending Balance*
2022	$1,388,492	$677,426	-$1,267,030	$7,226,211
2023	$269,840	$110,508	$399,461	$7,773,515



*Includes any plan loan balances

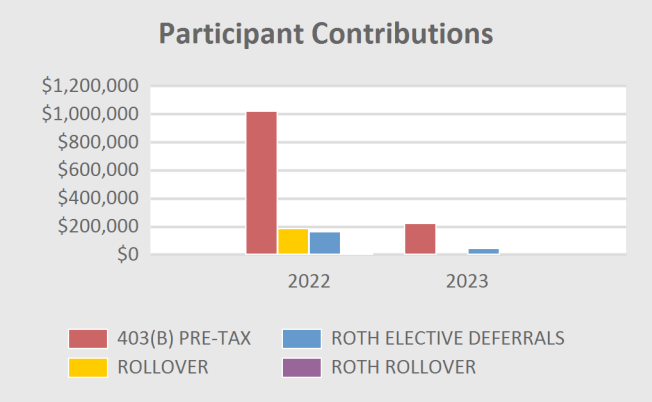
Contributions and Distributions

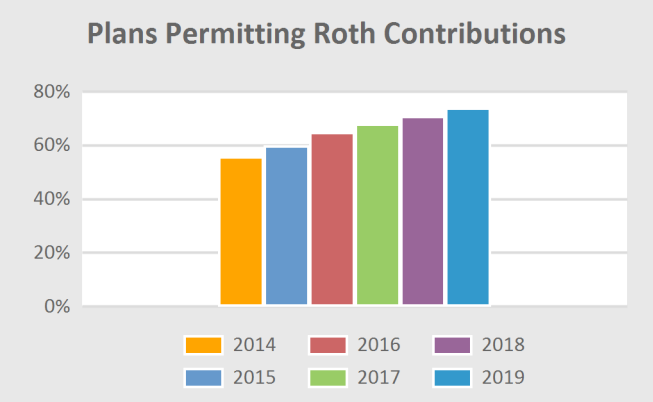
This section can help you understand the flow of assets within your plan, both incoming and outgoing.

Have there been significant changes year over year? Are there steps that can be taken to improve plan flow?

Plan Contribution Detail

	2022	2023
403(B) PRE-TAX	$1,023,619	$224,097
ROLLOVER	$188,572	$0
ROTH ELECTIVE DEFERRALS	$167,841	$45,743
ROTH ROLLOVER	$8,460	$0





Plan Distribution Detail

	2022		2023	
LUMP SUM	$174,778	86	$19,285	6
ROLLOVER	$319,969	15	$76,039	6
IN-SERVICE	$38,726	19	$11,985	4
FORCE OUT	$95,007	42	$0	0
OTHER	$48,945	12	$3,200	1

Participation

Participation is a key indicator of your plan's overall health. By evaluating your plan against the national average, you can quickly see how your plan compares and if any plan design changes may further increase engagement. *Please note terminated participants are excluded from the data below.*

What steps can be taken to increase participation and encourage replacement of 70 to 80 percent of pre-retirement income?

Plan Contribution Detail

	2022	2023
Participation rate	62%	58%
National average*	85%	N/A
National average by number of employees*	86%	N/A

Participation by Age Range**

Range	≤ 30	31 to 40	41 to 50	51 to 60	61+
# Contributing	111	150	118	124	65
# Eligible	194	232	207	184	96
% Contributing	57%	65%	57%	67%	68%

Participation by Salary Range**

Range	< $30k	$30 - $50k	$50 - $75k	$75 - $100k	$100 - $125k	$125k +
# Contributing	118	298	120	20	4	8
# Eligible	247	458	168	27	5	8
% Contributing	48%	65%	71%	74%	80%	100%

*From Vanguard's *How America Saves 2022* survey

**As of last day of prior plan year

Participant Contributions

The amount your participants save has a greater effect on retirement readiness than the investments they select.

This section can help you better understand how your employees are contributing to this important benefit by salary and age.

Does this information show a need for targeted education?

	2022	Benchmark*	2023
Average savings rate	3.83%	7.30%	4.02%
Average amount contributed	$1,305	N/A	$289
# Contributing* **	568	N/A	537
# of Eligible* **	913	N/A	933

Average Savings Rate by Age**	≤ 30	31 - 40	41 - 50	51- 60	61+
Plan	3.29%	10.29%	3.75%	4.50%	5.24%

Average Savings Rate by Salary**	< $30k	$30 - $50k	$50 - $75k	$75 - $100k	$100 - $125k	$125k+
Plan	9.67%	3.49%	4.62%	6.93%	10.19%	7.50%

*From Vanguard's *How America Saves 2022* survey

**As of last day of prior plan year

***Terminated participants are excluded

Average Account Balance

How confident are you that your workforce is ready to retire? Participants may need to replace more than 80 percent of their income in retirement. This information allows you to analyze the year-over-year growth in your plan as compared to national averages.

What steps can be taken to increase the health of the plan, such as targeted educational campaigns, online tools or other resources?

	2022	2023
Average account balance	$9,713	$10,175
Median account balance	$3,429	$3,475
National average*	$141,542	N/A

Average Account Balance by Age**

Range	≤ 30	31 - 40	41 - 50	51 - 60	61+
Average account balance	$2,403	$5,499	$9,964	$13,947	$21,630
% Contributing	57%	65%	57%	67%	68%

Average Account Balance by Salary**

Range	< $30k	$30 - $50k	$50 - $75k	$75 - $100k	$100 - $125k	$125k +
Average account balance	$1,143	$6,101	$15,209	$24,033	$30,888	$91,776
% Contributing	48%	65%	71%	74%	80%	100%

*From Vanguard's *How America Saves 2022* survey

**As of last day of prior plan year

Guided Portfolios

Pre-mixed portfolios make it easier for employees to diversify their investments. A portfolio is recommended after an employee takes a quiz considering risk tolerance and time horizon.

The Automatic Rebalancer option can help ensure employees maintain their current investment allocation and risk tolerance.

This information outlines how many participants have chosen the Guided Portfolios over another investment mix as well as those leveraging the Automatic Rebalancer.

Do your employees find these tools a valuable resource for helping them manage their accounts?

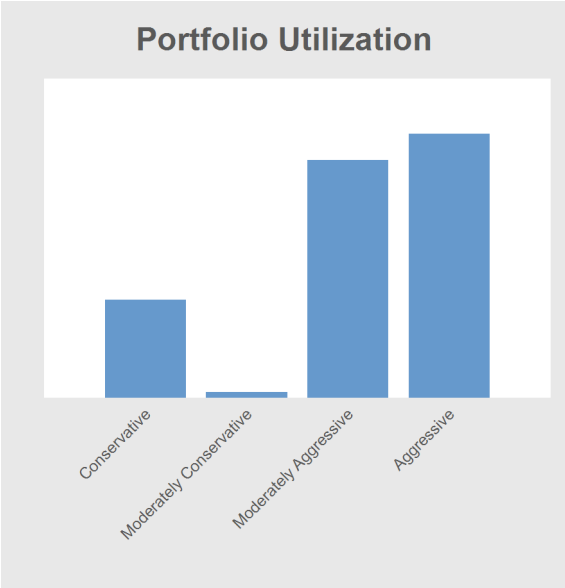
	Average Beginning Balance*	Average Ending Balance*	Percentage Change
Portfolio investors	$19,803	$21,716	9.66%
Independent investors	$16,489	$17,136	3.92%
Target Date investors**	$6,890	$7,616	10.53%

764 Participants with a Balance

	Number of Participants	% of Participants	# Using Rebalancer	% Using Rebalancer
Portfolio investors	7	1%	2	29%
Independent investors	195	26%	2	1%
Target Date investors**	562	74%	N/A	N/A

Portfolio	Market Value	% of Plan Assets	# of Participants
Conservative	$24,610	0.32%	2
Moderately Conservative	$1,541	0.02%	1
Moderately Aggressive	$59,718	0.77%	3
Aggressive	$66,143	0.85%	1
Total	**$152,012**	**1.96%**	**7**

*Beginning balances as of 01/01/2023, ending 03/31/2023



**Represents participants who are 100% invested in a single target date fund.

Participation by Fund

Below is a breakout of the funds within your plan and the number of participants invested in them.

Are there ways to make your fund lineup more effective? For example, what does the fund use look like compared to the number of funds offered?

	In Portfolio	# of Participants in Fund	Balance	Percentage of Assets
Standard Stable Asset A	X	52	$385,393	5%
Vanguard Tot Bd Mkt Idx Adm	X	39	$93,996	1%
Putnam Dynamic AA Growth Y		9	$214,642	3%
Putnam Dynamic AA Conserv Y		10	$56,990	1%
BlackRock LifePth Idx Ret K		38	$794,553	10%
BlackRock LifePth Idx 2025 K		71	$834,040	11%
BlackRock LifePth Idx 2030 K		96	$862,276	11%
BlackRock LifePth Idx 2035 K		86	$866,551	11%
BlackRock LifePth Idx 2040 K		72	$614,808	8%
BlackRock LifePth Idx 2045 K		113	$979,677	13%
BlackRock LifePth Idx 2050 K		106	$645,497	8%
BlackRock LifePth Idx 2055 K		86	$266,338	3%
BlackRock LifePth Idx 2060 K		128	$349,664	4%
Putnam Dynamic AA Balanced Y		26	$91,841	1%
MFS Value R6	X	23	$88,292	1%
iShares S&P 500 Index K	X	28	$89,565	1%
TIAA-CREF Inst Lg Cp Gr Inst	X	44	$208,095	3%
Allspring Specl MdCp Val Ins	X	11	$4,798	0%
Vanguard Mid Cap Index Adm		7	$57,894	1%
MassMutual Mid Cap Growth I	X	39	$101,761	1%
DFA US Targeted Value I	X	36	$30,154	0%
Vanguard Explorer Adm		24	$58,968	1%
Hartford Intl Opportun R6	X	8	$14,735	0%
American Funds New World R6		30	$53,865	1%
Principal Real Estate Sec I		3	$9,122	0%

Terminated Participants

When employment ends for a retirement plan participant, you continue to be a fiduciary to the participant's retirement plan assets and held to compliance as long as these assets remain in the plan. Ongoing administrative tasks, such as tracking former employees to deliver required notices, can prove difficult and you may be paying ongoing plan expenses. **Figures below represent terminated participants still in the plan.**

What can The Standard do to ease the administrative burden?

Year of Termination	< $1000	$1000 - $5000	>$5000
2023	11	6	9
2022	20	16	14
2021	4	2	10
2020	1	0	5
< 2020	10	6	24
Total	46	30	62

Our Sweep Process Reduces Your Burden

Our sweep process helps move terminated participants out of the retirement plan when their balance is below a designated amount, either $1,000 or $5,000. This process is run semi-annually and is designed to help reduce your burden by minimizing the number of potential lost participants and notices to be mailed. In addition, this process may help reduce any asset or per-participant expenses.

Forfeiture Balance	Forfeiture Handling
Your forfeiture balance is: $0.00	N/A

Web Usage

When participants access their accounts online, not only do they save time, but they also have the chance to engage in their account by making changes or evaluating current investment selections.

Are your participants aware of the suite of online tools and resources available to them?

Participants Defaulted to Electronic Statements*	Number of Participants Registered Online	Total Number of Plan Participants	% of Participants that have Registered Online	% of Participants that have Multi-Factor Authentication
1068	560	1,071	52%	52%

Online Transfer and Rebalance Activity

	2022	2023
Directives updated online	1	4
Rebalance requests initiated online	6	2

	Number Requested Online	Total Number Requested	% Requested Online
Distribution activity	16	16	100%
Loan activity	0	0	0%

These figures include participants that have terminated employment but continue to have a balance invested in the plan.

*Paper statements will be sent if no participant email address is on file.

Leveraging Plan Services

A plan's services can affect your fiduciary protection as well as help participants save for their retirement income. Below are your currently selected services along with other options to consider.

Are there other available services that can help reduce your fiduciary risk, administrative burden and support participant retirement readiness?

Service	Used in Plan	Description
ERISA 3(21) Investment Advisory Fiduciary	No	Plan level investment fiduciary services.
ERISA 3(38) Investment Management Fiduciary	No	Investment management fiduciary services with discretionary transactional authority over investments.
Auto Enrollment	Yes	Form of enrollment that makes opting out an affirmative election.
Qualified Default Investment Alternative	Yes	Default investment election for any participants that do not actively select investments. Reduces plan sponsor liability.
Mainspring Managed	No	Participant managed service that provides an investment and savings recommendation based on a gap analysis.
MAP	Yes	The Standard can approve loans and distributions on behalf of the plan sponsor.
GOLD	Yes	Online loans and distribution processing.
Portfolios	Yes	Participants can choose from predetermined portfolio options based on a simple quiz.
Online Enrollment	Yes	Provides participants the opportunity to enroll from anywhere they are able to connect online.
Participant Notices	Yes	The Standard distributes certain required notices to participants.
Customer Protection Program	Yes	This program can help protect participants in the event of unauthorized access.

ERISA 3(16) Services

Service	Used in Plan	Description
Compliance Testing	Yes	When providing full service administration the Standard can act as a fiduciary for certain key plan administration responsibilities when performing compliance testing.
Manager of the Approval Process	Yes	The Standard takes on a fiduciary role with the approval of loans, distributions and withdrawals.
Participant Notices	Yes	The Standard takes on a fiduciary role by distributing certain required notices to participants.
Enrollment Alerts	No	The Standard takes on a fiduciary role in determining initial participant plan eligibility and notifying them accordingly.

Executive Summary

This page provides a high-level summary. More information is available inside the full Plan Review.

Plan Flow	2022	2023
Ending balance	$7,226,211	$7,773,515
Total Plan Contributions	$1,388,492	$269,840
Deferrals	$1,191,460	$269,840
Employer	$0	$0
Rollover	$197,032	$0
Market impact	-$1,267,030	$399,461
Distribution $	$677,426	$110,508
Distribution #	194	17

Participant Information	2022	2023
Contributing participants	568	537
Eligible participants	913	933
Participants w/ balance	744	764

Executive Summary

This page provides a high-level summary. More information is available inside the full Plan Review.

Participant Utilization	2022	2023
Participation rate*	62%	58%
Savings rate*	4%	4%
Average account balance	$9,712.65	$10,174.76
Median account balance	$3,428.81	$3,475.32
Average deferral	$1,304.99	$289.22

Web Utilization	2022	2023
% Registered	52%	52%
% of Participants that have Multi-Factor Authentication	52%	52%
Directives updated online	1	4
Rebalance requests initiated online	6	2
Distributions initiated online	75	16
Loans initiated online	0	0

*Terminated participants are excluded

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

DAVID SCRIBNER
DIRECTOR

GAVIN NEWSOM
GOVERNOR

February 21, 2023

Mr. Jeremy Tobias, Executive Director
Community Action Partnership of Kern
5005 Business Park North
Bakersfield, CA 93309

Dear Mr. Tobias:

The Department of Community Services and Development's (CSD) Energy Field Operations Unit, in conjunction with CSD's Financial Services Unit, has received and processed a Close-Out Report for Community Action Partnership of Kern's (CAPK) 2021 Low-Income Home Energy Assistance Program (LIHEAP) Contract 21B-5012. This letter serves as CAPK's 2021 LIHEAP Final Close-Out Letter.

CSD's Energy Services Field Operations Unit has assessed CAPK's contract performance against CAPK's projections. Thus, according to the final Expenditure Activity Reporting System's (EARS) report, CAPK has met its goals; below is a breakdown of CAPK's overall performance with respect to the 2021 LIHEAP Contract:

Contract Component	Amount Budgeted	Actual Expenditures	Projected Dwellings /Clients Served	Actual Dwellings/ Clients Served
Weatherization	$ 2,445,430.00	$ 2,445,430.00	200	199
EHA 16	$ 2,339,910.00	$ 2,339,910.00		
EHCS		$ 487,442.11	50	74
ECIP/HEAP WPO		$ 75,828.00	140	126
SWEATS		$ 1,409.57	N/A	13
HEAP Gas and Electric	$ 788,996.00	$ 787,641.59	7,000	1,810
ECIP Fast Track	$ 3,749,419.00	$ 3,748,467.69		4,356
Total Contract Allocation: $ 9,323,755.00				
Total Contract Expended: $ 9,321,449.28				

Per Close-Out Requirements, the Energy Services Field Operations Unit has reviewed and evaluated CAPK's response to the aforementioned Expenditure and Production

analysis. Based on CAPK's response, your agency stated the following: 1) CAPK met or exceeded its goals in WX, EHA, and UA, 2) learned new ways to find and hire qualified staff and subcontractors, establish monthly goals, and improve outreach and marketing, and 3) will review budgets due to changes in labor and materials, create a paperless system for UA and WX teams, and more effectively review data throughout the progress of the contracts. The Field Operations Unit will follow up on your Agency's plan of action during future monitoring.

In addition, CSD has reconciled CAPK's 'Major Vehicle and Equipment Purchases' against the Agency's CSD 558 pre-approval requests, final EARS Reports, and the submitted CSD 733G 'Inventory and Equipment Schedule'; hence, for the 2021 LIHEAP Contract, CSD has identified and tracked the following 'Major Vehicle and Equipment Purchases':

- *Office Cubicles purchased for $5,145.21 (20% of total cost: $25,726.04)*
- *Insulation Machine purchased for $1,278.43 (5% of total cost: $25,568.65)*

With respect to interest, revenue, and outstanding Working Capital Advances for the 2021 Program Year, CAPK reported the following: interest income earned of $103.00 between 10/1/2020 and 9/30/2021 and $417.00 between 10/1/2021 and 9/30/2022 for a total of $520.00 which was expended during the program year. Since these amounts do not exceed $500.00 per year, no funds need to be returned to the Department of Health and Human Services.

It was discovered that CAPK reported interest income during the 2020 Program Year ($375.00 between 10/1/2019 and 9/30/2020 and $471.00 between 10/1/2020 and 9/30/2021 for a total of $846.00) which was not expended but carried forward to the subsequent Program Year. The close-out letter for 20B-2012 failed to request the required expenditure plan. As a result, your CSD Energy Field Representative will follow-up on your agency's expenditure and performance plan with respect to the unspent funds.

Based on the analysis of CAPK's expenditure under this contract, your agency did not fully expend all funds under this contract; however, no funds are owed to CSD.

The Energy Field Operations Unit considers this contract closed; however, this contract is subject to a final review by CSD's Audit Services Unit. If you have any questions regarding the programmatic or performance references made throughout this report, please contact me at (916) 407-0525 or via e-mail at Darrell.McCormick@csd.ca.gov.

Thank you for your dedication and commitment to serve low-income individuals and families in your community. I look forward to working in partnership with you to develop innovative and effective programs as well as strengthen our capacity to improve the lives of those living in poverty and ultimately reduce poverty in California.

Sincerely,

Darrell McCormick

DARRELL MCCORMICK
Field Representative

Enclosure: 2021 LIHEAP Closeout Worksheet

State of California
Department of Community Services and Development
2021 LIHEAP Closeout Worksheet (as of 3/28/22)

Agency: Community Action Partnership of Kern

Contract Number: 21B-5012

Line Items	Max/Budgeted	Expenditures	Allowable	Paid	Owed
Weatherization (WX) Program Costs					
Intake	$195,634.00	$93,778.55	$93,778.55		
Outreach	$122,272.00	$122,272.00	$122,272.00		
Training & Technical Assistance	$122,272.00	$32,979.68	$32,979.68		
T&TA Out of State Travel		$0.00			
WX Program Costs Subtotal	**$440,178.00**	**$249,030.23**	**$249,030.23**		
Major Vehicle & Field Equipment		$0.00	$0.00		
Minor Vehicle & Field Equipment		$0.00	$0.00		
Liability Insurance		$8,652.67	$8,652.67		
General Operating Costs		$340,633.54	$340,633.54		
WX Program Activities		$767,344.44	$767,344.44		
Other Program Costs		$1,079,769.12	$1,079,769.12		
WX Program Activities & Costs Subtotal	**$2,005,252.00**	**$2,196,399.77**	**$2,196,399.77**		
Total Weatherization Program Costs	**$2,445,430.00**	**$2,445,430.00**	**$2,445,430.00**	**$2,445,430.00**	**$0.00**
Assurance 16 Costs	**$492,140.00**	**$278,091.61**	**$278,091.61**	**$278,091.61**	**$0.00**
Administratrive Costs					
Administrative Costs		$390,516.75			
Administrative Equipment		$0.00			
Out of State Travel		$0.00			
Administrative Costs Subtotal	**$492,140.00**	**$390,516.75**	**$390,516.75**	**$390,516.75**	**$0.00**
ECIP/HEAP Program Costs					
Intake	$471,524.00	$437,536.47	$437,536.47		
Outreach	$294,702.00	$280,201.89	$280,201.89		
Training & Technical Assistance	$117,881.00	$12,423.43	$12,423.43		
T&TA Out of State Travel		$0.00			
ECIP/HEAP Program Costs Subtotal	**$884,107.00**	**$730,161.79**	**$730,161.79**	**$730,161.79**	**$0.00**
Program Services Costs					
Major Vehicle & Equipment		$0.00	$0.00		
Minor Vehicle & Equipment		$0.00	$0.00		
Liability Insurance		$660.85	$660.85		
General Operating Costs		$169,998.17	$169,998.17		
Automation Costs		$0.00	$0.00		
ECIP EHCS		$487,442.11	$487,442.11		
ECIP/HEAP WPO		$75,158.00	$75,158.00		
Other Program Costs		$206,471.15	$206,471.15		
SWEATS		$1,409.57	$1,409.57		
Program Services Costs Subtotal	**$471,523.00**	**$941,139.85**	**$941,139.85**	**$941,139.85**	**$0.00**
Total ECIP/HEAP/A16 Costs	**$2,339,910.00**	**$2,339,910.00**	**$2,339,910.00**	**$2,339,910.00**	**$0.00**
Utility Assistance Program Costs					
ECIP Fast Track	$3,749,932.00	$3,748,467.69			
HEAP Gas & Electric	$788,483.00	$787,641.59			
Total Utility Assistance Costs	**$4,538,415.00**	**$4,536,109.28**	**$4,536,109.28**	**$4,536,109.28**	**$0.00**
TOTAL ADMIN COSTS	$492,140.00	$390,516.75	$390,516.75		
TOTAL PROGRAM COSTS	$8,831,615.00	$8,930,932.53	$8,930,932.53		
CONTRACT TOTAL	**$9,323,755.00**	**$9,321,449.28**	**$9,321,449.28**	**$9,321,449.28**	**$0.00**

Darrell McCormick — Completed by

2/13/23 — Date

2021 LIHEAP Closeout Worksheet (as of 3/28/22)
Community Action Partnership of Kern
21B-5012

	WX/ECIP/HEAP Program Dollars			Assurance 16		
	Max/Budgeted	Allowed	% Expended	Max/Budgeted	Expended	Allowed
WX	2,445,430.00	2,445,430.00		492,140.00	278,091.61	278,091.61
Intake	471,524.00	437,536.47				
Outreach	294,702.00	280,201.89				
Training	117,881.00	12,423.43				
ECIP/HEAP	5,009,938.00	5,477,249.13				
	8,339,475.00	8,652,840.92	100.00000000%	492,140.00	278,091.61	**278,091.61**

	WX/ECIP/HEAP/A16 Program Dollars			Administration (WX/ECIP/HEAP/A16)		
	Max/Budgeted	Allowed	% Expended	Max/Budgeted	Expended	Allowed
A16	492,140.00	278,091.61		492,140.00	390,516.75	390,516.75
WX	2,445,430.00	2,445,430.00				
Intake	471,524.00	437,536.47				
Outreach	294,702.00	280,201.89				
Training	117,881.00	12,423.43				
ECIP/HEAP	5,009,938.00	5,477,249.13				
	8,831,615.00	8,930,932.53	100.00000000%	492,140.00	390,516.75	**390,516.75**

Total Paid	**Total Allowed**
9,321,449.28	9,321,449.28
Owed:	**0.00**

STATE OF CALIFORNIA
Department
of
Community Services and Development

March 8, 2023

Monitoring Report E-23-012W

The Department of Community Services and Development (CSD) is responsible for the oversight of the Low-Income Household Water Assistance Program (LIHWAP). Hence, CSD is required to monitor the activities of Community Action Partnership of Kern (CAPK) to ensure compliance with all contractual and statutory requirements.

INTRODUCTION

CSD conducted a desk review of Community Action Partnership of Kern's (CAPK) LIHWAP contract 21Z-9556. Darrell McCormick, Field Representative, conducted the review in accordance with CSD's Energy and Environmental Services Division's Monitoring Scope.

The purpose of the review is to ensure the Contractor meets the Reporting Requirements, Programmatic Requirements, Compliance Requirements, and other applicable requirements as prescribed in the contract and referenced therein (45 C.F.R. §75.342; LIHWAP Article 9.3).

This monitoring report contains the following sections:

I. Reporting Requirements
II. Programmatic Requirements
III. Compliance Requirements
IV. Monitoring Summary

I. REPORTING REQUIREMENTS

The purpose of the Reporting Requirements review is to ensure that Contractor's submits quarterly reports detailing program progress.

Based on the CSD Field Representative's review, the CSD Field Representative did not identify any issues regarding Reporting Requirements.

II. PROGRAMMATIC REQUIREMENTS

The purpose of the Programmatic Requirements review is to ensure that the Contractor is adhering to the programmatic requirements of the contract. The areas covered under the Programmatic Requirements are Program Standards and Regulatory Requirements: Record-Keeping Responsibilities.

The CSD Field Representative requested a sampling of client files for review. Below is a summary of the number of client files requested, received, and reviewed:

Contract	Program	Number of Files Requested	Number of Files Received	Number of Files Reviewed
21Z-9556	Water Crisis	5	5	5

Based on the CSD Field Representative's review, the CSD Field Representative did not identify any issues regarding Programmatic Requirements. All questions related to client files were satisfactorily answered by the agency. No follow-up is required.

III. COMPLIANCE REQUIREMENTS

The purpose of the Compliance Requirements review is to ensure that the Contractor is meeting their expenditure goal in accordance with the contractual requirements. The areas covered under the Compliance Requirements are Service Delivery and Expenditure Requirements.

Contractor Performance Benchmark and Reporting Requirements

Per the 2022 LIHWAP contract, *"Contractor shall be at 40% expenditures of the contract by December 31, 2022. CSD will monitor Contractor's performance to evaluate compliance with meeting performance benchmark requirements of no less than 60% by*

March 31, 2023, 90% by June 30, 2023, and 100% by August 31, 2023, of the total allocation."

Reported expenditures through December 31, 2022, pulled from the Expenditure Activity Reporting System (EARS) on February 1, 2023, show the agency is at 12.67% expended of the 2022 LIHWAP contract, 27.33% short of the expected contract benchmark of 40%. If CAPK continues at this rate, the agency runs the risk of not fully expending funds by the end of the contract term.

IV. MONITORING SUMMARY

CSD appreciates the effort and collaboration with sending the requested documentation for review.

Thank you for your dedication and commitment to serve low-income individuals and families in your community. I look forward to working in partnership with you to develop innovative and effective programs as well as strengthen our capacity to improve the lives of those living in poverty and ultimately reduce poverty in California.

CSD COMPREHENSIVE INSPECTION REPORT (CIR) *Ver4.27.22*

Agency's Name		
CAP of Kern		
Agency Representative	**Title of Representative**	**Representative Phone Number**
Wilfredo Cruz Jr	Program Administrator	661-407-2845 Ext 4347

ConSol Inspector / QCI certification #	Primary Reason For Visit
Geoff Cox BPI#5020580	Regular Inspection
CSD Representative's Name	**CSD Representative Present**
N/A	No

Additional Personnel Attending The Exit Interview
Abran Gonzalez, Andres Gonzalez & Gary Steves

Inspection Dates		Exit Interview Date	Last Inspection Date	
From	Thru		From	Thru
01/09/23	01/12/23	01/12/23	05/23/22	05/27/22

Inspection Results Totals				
	Standard	Enhanced	Re-Inspection	Total
Total Units Inspected	14	2	0	16
"Fail" Units	0	0	0	0
"Haz-Fail" Units	0	0	0	0
"Paper Fail" Units	0	0	0	0
"Remedied" Units	0	0	0	0
"File Review" Units	0			
"Fail" Measures	0	0	0	0
"Haz-Fail" Measures	0	0	0	0
"Paper Fail" Measures	0	0	0	0
"Remedied" Measures	0	0	0	0
"File Review" Measures	0			

Single Family Units	13	Multi Family Units	1	Mobile Home Units	2

Total WIPS Completed	2	Assessment Stage WIPS	0
Weatherization Stage WIPS	2	Post Inspection Stage WIPS	0
Total # of Inspection During This Visit (QA + WIPS)	18		

Training Referral	No
Subject of Training	N/A
Names of Individuals Referred for Training	N/A
Quality of Work Since Last Inspection	
About the Same	

Agency's Name	Inspection Dates	
CAP of Kern	01/09/23	01/12/23

CAS
- Knowledge of test protocols
- Accuracy of tests performed
- Feasibility of tests performed

Rating
Success (Meets Standard)

BLOWER DOOR
- Knowledge of test protocols
- Accuracy of tests performed
- Feasibility of tests performed

Rating
Success (Meets Standard)

DUCT BLAST
- Knowledge of test protocols
- Accuracy of tests performed
- Feasibility of tests performed

Rating
Success (Meets Standard)

LOT FILES AND DOCUMENTATION
- Organization of documentation
- Accuracy of documentation
- Completeness of files

Equipment Calibration Logs Present and Complete?	Yes

Rating
Success (Meets Standard)

WORKMANSHIP
- General quality of work
- Appropriate material selection
- Customer Satisfaction

Rating
Success (Meets Standard)

Agency's Name	Inspection Dates	
CAP of Kern	01/09/23	01/12/23

Subcontractors
Oasis HVAC, Community Outreach Services, PLC System Services & HD Maintenance

Field Notes

Item	Description
	LIHEAP 2022 = 16 & WIPS = 2
	2 WIPS completed as agency could not get more units scheduled.

Inspector Signature	Date	Agency's Rep. Signature	Date
	1/12/2023	Wilfredo Cruz Jr	1/12/2023

Agency's Name	Inspection Dates	
CAP of Kern	01/09/23	01/12/23

Inspection Correction Transmittal

This following pages list the units that have unresolved Fails. Fails are described on the Weatherization Inspection Reports (WIRs). After Fails are remedied, complete this form by filling in "Date Remedied" & "Authorized Signature" columns for each dwelling listed. **Note: File Review only lot files include observations only and do not require corrections. Refer to Section 4., below.**

1. "Hazardous Fails" (HF):

- Eliminate the immediate hazard within 18 hours of written notification, and completely resolve the Hazardous Fail within 5 working days of written notification. (Deadline for remedy is shown in the "HF" box of the "Remedy By (Date)" section.)
- On each WIR: (a) indicate what corrective/remedial action was taken for each HF, (b) complete the "Installer's Signature & Date" line, and (c) you must obtain the customer signature somewhere on the WIR to verify HFs have been remedied. This constitutes a "completed" WIR.
- Provide a photo and work order / invoice showing that the Hazardous failure has been remedied. This will constitute a completed CIR and can be submitted to CSD.

2. "Non-Hazardous "Fails" (F) and "Paperwork Fails" (PF) for which a physical remedy is **feasible*" :

- Remedy within 20 working days of written notification. (Deadline for remedy is shown in "F/PF" box of the "Remedy By (Date)" section.)
- On each WIR: (a) indicate what corrective/remedial action was taken for each unit, and (b) complete the "Installer's/Contractor's Signature & Date" line. This constitutes a "completed" WIR (a client signature is not required for Fs and PFs.)
- Non Hazardous failures, provide photos and invoice showing that the failure was remedied. Paper failures, please identify on the WIR what measure was corrected or for "missing permit" paper failures provide the permit. Billing paper failures, please provide the corrected EARS report and or credit memos showing that the billing has been adjusted. This will constitute a completed CIR and can be submitted to CSD.

3. When corrections to all Fails have been made:

- Fax Or Email completed CIR, WIRs & questions to:
  - Email: JGarcia@cheers.org / anegd@consol.org
  - Attn: Juanita Garcia / FAX: (866) 377-6251 • Phone: (800) 424-3377
  - Include only WIRs for jobs listed on this CIR

Last Name & First Initial Street Address and City	# Of Corrections By Type			Date Notified	Remedy By Date		Date Remedied		Authorized Signature
	HF	F	PF		HF	F/PF*	H	F/PF*	

Name of Person Receiving the CIR	Signature	Date
Wilfredo Cruz Jr.	Wilfredo Cruz Jr	1/12/2023

	Continuation Page Present:	No	Page	1 of	1

Agency's Name	Inspection Dates	
CAP of Kern	01/09/23	01/12/23

Ver 07.09.19
State of California Department of CSD
WORK IN PROGRESS REPORT (WIPR)

Agency Name	CAP of Kern	Agency Job #	191

Assessment Type:	Other	***1st Inspection Date:***	1/9/23
Inspection Stage:	Weatherization	***Re-Inspection Date:***	

Valdez	Sandra	661-304-2564
Client's Last Name	***First Name***	***Phone Number***

RESIDENCE/UNIT INFORMATION

3900 Tretorn Ave		Bakersfield	CA	93313
Address (# and Street)	***Unit #***	***City***	***State***	***Zip Code***

Housing Type:	Single Family Home	***Housing Area:***	Urban
Funding Source:	LIHEAP '22		

LEAD SAFE WEATHERIZATION

A. Is the home Pre-1978?	No
B. EPA Requirements Implemented Correctly?	Yes

MEASURES	Assessed	Feasible	Paperwork	Workmanship	Procedures
1. CAS Testing	Yes	Yes	Correct	Acceptable	Properly Performed
2. Blower Door					
3. Duct Blast					
8. Ceiling Fans	Yes	Yes	Correct	Acceptable	Properly Performed

ASSESSMENT

Name of Assessor(s):	Michael Gage
Was Mechanical Ventilation Assessed As Required?:	Yes

All measures were assessed for and any needed comments were noted in the file.

DOE PRIORITY LIST/ AUDIT

PAPERWORK

All the required forms were included in the file and were being filled out.

WORKMANSHIP

Post Inspector's name:	
Name of Crew Members:	Rene Ambriz, Alex Vallecillo & Adam Wages

The workmanship was good and the measures are being installed per program policies and procedures.

AGENCY FOLLOW UP

Agency signature only acknowledges receipt of information

Wilfredo Cruz Jr	1/12/2023
Agency Signature & Date	

QA Inspector's signature required on all forms

	1/9/2023
QA Signature & Date	

Ver 07.09.19
State of California Department of CSD
WORK IN PROGRESS REPORT (WIPR)

Agency Name	CAP of Kern	Agency Job #	210

Assessment Type:	Other	***1st Inspection Date:***	1/10/23
Inspection Stage:	Weatherization	***Re-Inspection Date:***	

Madkins	Keith	661-519-8706
Client's Last Name	***First Name***	***Phone Number***

RESIDENCE/UNIT INFORMATION

814 Robinson St		Bakersfield	CA	93307
Address (# and Street)	***Unit #***	***City***	***State***	***Zip Code***

Housing Type:	Single Family Home	***Housing Area:***	Urban
Funding Source:	LIHEAP '22		

LEAD SAFE WEATHERIZATION

A. Is the home Pre-1978?	Yes
B. EPA Requirements Implemented Correctly?	No

MEASURES	Assessed	Feasible	Paperwork	Workmanship	Procedures
1. CAS Testing					
2. Blower Door					
3. Duct Blast					
13. Cooking Appliance Replace - Gas	Yes	Yes	Correct	Acceptable	Properly Performed
130. Refrigerator Replacement 19 cu. Ft. and below	Yes	Yes	Correct	Acceptable	Properly Performed
7. Carbon Monoxide Alarm	Yes	Yes	Correct	Acceptable	Properly Performed
138. Smoke Alarm	Yes	Yes	Correct	Acceptable	Properly Performed

ASSESSMENT

Name of Assessor(s):	Gary Steves
Was Mechanical Ventilation Assessed As Required?:	Yes

All measures were assessed for and any needed comments were noted in the file.

DOE PRIORITY LIST/ AUDIT

PAPERWORK

All the required forms were included in the file and were being filled out.

WORKMANSHIP

Post Inspector's name:	
Name of Crew Members:	Alex Vallecillo & Adam Wages

The workmanship was good and the measures are being installed per program policies and procedures.

AGENCY FOLLOW UP

Agency signature only acknowledges receipt of information

Wilfredo Cruz Jr	1/12/2023
Agency Signature & Date	

QA Inspector's signature required on all forms

	1/10/2023
QA Signature & Date	

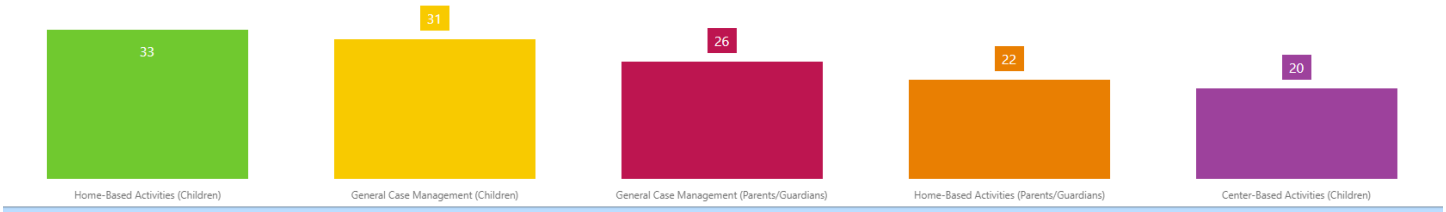
Evaluation Site Visit Report

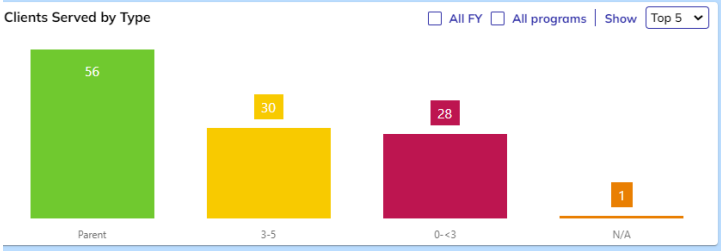
Program Title:	East Kern Family Resource Center				
Fiscal Year:	☐ 2020-21	☐ 2021-22	√ 2022-23	☐ 2023-24	☐ 2024-25
Date:	02/16/2023				
Program Staff:	Freddy Hernandez (Director of Youth & Community Services) Anna Saavedra (Program Supervisor)				
Research Analyst:	Theresa Martinez (Chief Evaluation/Program Officer)				

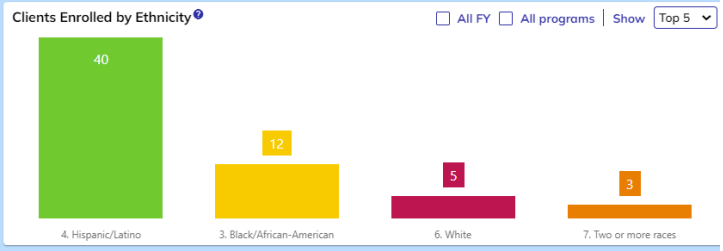
IRB Monitoring	**Yes**	**No**
Have all First 5 Kern funded staff members received Confidentiality Training?	√	☐
Are First 5 Kern Informed Consents administered to all Proposition 10 clients?	√	☐
Did the program coordinator complete and sign the IRB Confidentiality Checklist?	☐	√

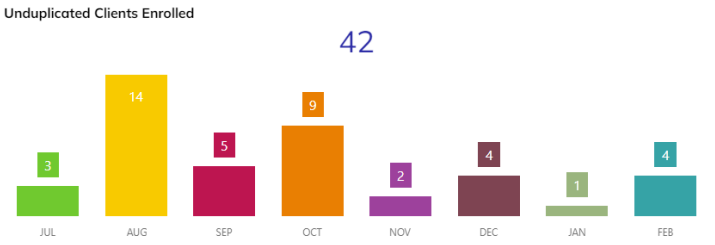
Comments:
A copy of the IRB form was emailed to the East Kern Family Resource Center (EK FRC) staff on 02/24/2023. A completed copy of the form must be emailed to the First 5 Kern evaluation department by 03/09/2023.

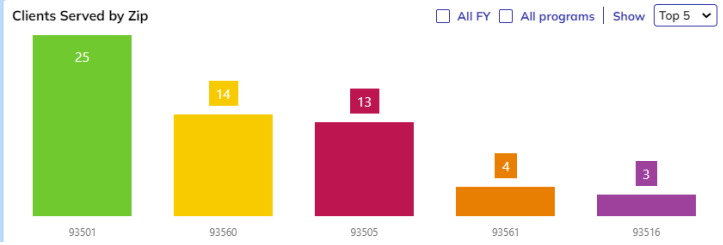
Client Summary











Evaluation Site Visit Report

Consent Form Review		
Q1	√ Reviewed	Q1 and Q2 consent feedback was reviewed and discussed. Reminded EK FRC Supervisor to confirm the consent forms match the client records in Persimmony and to review consent forms for accuracy prior to submission (e.g., make edits as needed and initial the edits, and provide copy of the pink form if fields are illegible (do not staple consents).
Q2	√ Reviewed	
Q3	☐ Reviewed	Due 04/28/2023.
Q4	☐ Reviewed	Due 07/15/2023.

Performance Measures Evaluation Edits		
Q1	√ Reviewed	Reviewed Performance Measure requirements for Result Indicator (RI) 2.4.3. (Support Services). The requirements are as follows: 1) The intent of this RI is to capture the number of non-consenting parents/guardians with children ages 0-5 who received support services from the program. a) A support service may include referral(s), food, diapers, utility assistance, clothing, etc. b) This RI is intended to capture the number of walk-in clients served. 2) Programs must have an Excel spreadsheet or another data tracking method to capture the Aggregate Demographic data and services received. EK FRC has an Excel workbook that captures "Aggregate Data" clients. c) The First 5 Kern evaluation department may request a copy of the spreadsheet at any time to verify counts reported under this RI. 3) The number of unique parents/guardians must be reported each quarter in: d) 2.4.3. (Support Services) Performance Measure Actual: i. A unique count must be reported each quarter and fiscal year. ii. A parent cannot be counted more than once each quarter or fiscal year. iii. A breakdown of the number of services received may be entered in the Period Narrative as follows: Fifty-four (54) parents received support services. A total of 34 referrals to other agencies, 30 food baskets, 10 utility assistance, and 10 diapers/wipes were provided in Q1. e) Aggregate Data – Include the total number of parents/guardians and children ages 0-5 in the household who received support services. i. The Aggregate Data total count (parents/guardians) ties back to the number reported under RI 2.4.3. Support Services. However, the Parent/Guardian count may be higher if both parents are entered in the Aggregate Data and not in RI 2.4.3. ii. "Other" includes siblings and other family members (e.g., grandparents, aunts, uncles, etc.).
Q2	√ Reviewed	
Q3	☐ Reviewed	Due 04/28/2023.
Q4	☐ Reviewed	Due 07/15/2023.

Aggregate Data		
Q1	√ Reviewed	The EK FRC Supervisor confirmed the Aggregate Data counts are 1) walk-in clients with children 0-5; and 2) clients are reported once per fiscal year and quarter. The total number of parents reported in Q1 and Q2 tie back to RI 2.4.3. (Support Services).
Q2	√ Reviewed	
Q3	☐ Reviewed	Due 04/28/2023.
Q4	☐ Reviewed	Due 07/15/2023.

Evaluation Site Visit Report

Persimmony Client Module Data	
Client Missing Demographic Data Kern	No missing data identified at this time.
Client Missing Services	No missing services identified at this time.
Client Missing Assessments	All applicable client records have at least one assessment/survey.
Client Duplicates	None identified at this time.
Services Count	1) Provided the EK FRC staff with six Persimmony Services reports: a. General Case Management (Parents/Guardians) b. General Case Management (Children) c. Parent Education (Court-Mandated) d. Center-Based Activities e. Center-Based Activities (Summer Bridge) f. Home-Based Activities 2) All service counts tie back to Q1 and Q2 Performance Measures totals. 3) EK FRC Supervisor provided a list of items needed for the FRC pantry (wipes, diapers, baby clothing, formula, car seats, diapers [newborn, size 1 and 2]).

Assessment Review

Assessment	Number of Occurrences to Date	
	FY2021-2022	FY2022-2023
Adult-Adolescent Parenting Inventory-2.1	12	--
Ages and Stages Questionnaire-3	42	24
Ages and Stages Questionnaire:Social Emotional-2	0	7
Birth Survey	53	40
Child Assessment-Summer Bridge	0	0
Core Data Elements	66	45
Family Stability Rubric	35	14

Notes: Reviewed assessment schedule with EK FRC staff as outlined on the Scope of Work-Evaluation Plan and Confidentiality Handbook (intake packet). As a reminder, the assessment schedule is listed below:

1) Intake Packet
    a. Family Demographics – At intake and updated as needed.
    b. Birth Survey – At intake only.
    c. Core Data Elements – At intake and every six months thereafter.
2) Adult Adolescent Parenting Inventory – Pre and post court-mandated classes.
    a. The current assessingparenting.com login information is outdated. Updated information is needed. See Next Steps.
3) Ages and Stages Questionnaire-3 and Ages and Stages Questionnaire:Social Emotional-2 – At intake (or as close to intake as possible) and follow the ASQ administration schedule based on the child's age.
    a. First 5 Kern evaluation staff confirmed the assessment is listed on the EK FRC's Scope of Work-Evaluation Plan.
4) Child Assessment-Summer Bridge – pre and post summer bridge sessions.
5) Family Stability Rubric – At intake and every three months thereafter.

Next Steps

1) Complete the IRB Checking Points document and email a copy to the Chief Evaluation/Program Officer at First 5 Kern no later than 03/09/2023.

2) Send the updates assessingparenting.com login information to the Chief Evaluation/Program Officer at First 5 Kern no later than 03/09/2023.

IRB Confidentiality Checklist

Please tell us which of the following have occurred since the last site visit.

1) Did any clients report any risks or discomforts as a result of data gathering, processing, and reporting?
☐ Yes ☑ No

2) Did any First 5 Kern-funded staff members encounter issues with protection of individually identifiable information during results dissemination?
☐ Yes ☑ No

3) Did any unauthorized persons have access to unscrambled client identification?
☐ Yes ☑ No

4) Did any First 5 Kern-funded staff members express concerns with the consent form administration required by the IRB protocol?
☐ Yes ☑ No

5) Did any respondents report concerns as a result of refusing to allow data collection?
☐ Yes ☑ No

6) Did any First 5 Kern-funded staff members violate privacy protection in the setting for data collection?
☐ Yes ☑ No

7) Did any First 5 Kern-funded staff members breach confidentiality during the information storage?
☐ Yes ☑ No

8) Did any First 5 Kern-funded staff members compromise confidentiality features from application of the Persimmony data management system?
☐ Yes ☑ No

For any "yes" answers above, please use the space provided to explain in more detail:

Program Coordinator: Freddy Hernandez Date: 3 / 02 / 23

Program Title: Director of Youth & Community Services

MALIA M. COHEN
California State Controller

February 7, 2023

Tracy Webster, Chief Financial Officer
Community Action Partnership of Kern
5005 Business Park N.
Bakersfield, CA 93309

Re: Single Audit Report Review for Fiscal Year 2021

Dear Ms. Webster:

We completed a desk review of your Single Audit Report relative to the WIC program for the period ended on February 28, 2021. We determined that the report meets the requirements for Single Audits as required by Title 2, *Code of Federal Regulations,* Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Uniform Guidance prescribes the audit and reporting standards for private non-profit organizations that expend federal awards.

Your audit satisfies the financial and compliance audit requirements under the WIC program. This does not preclude state and federal agencies from conducting additional audits that are necessary to carry out their responsibilities under federal laws and regulations. State and federal agencies may contact you to arrange for additional audits.

If you have any questions regarding this letter, please contact Iryna Bush, Audit Manager, by telephone at (916) 327-5005 or by email at wicsingleaudits@sco.ca.gov.

Sincerely,

JOEL JAMES, Chief
Financial Audits Bureau
Division of Audits

cc: Ia Lo, Chief
Local Services Branch
Women, Infants, and Children Division
California Department of Public Health
Cheryl Ungerman, Audit Review Unit Chief
Women, Infants, and Children Division
California Department of Public Health
Derek Robinson, Analyst
Women Infants, and Children Division
California Department of Public Health
Ella Finau, Bureau Chief
Division of Audits
State Controller's Office