

PROGRAM OVERVIEW

The following is the Sutter County Commission's vision statement for the local Proposition 10 program:

“All children in Sutter County will have optimal health, be nurtured and prepared to succeed.”

To implement this vision, the Commission uses funds generated by a \$.50 per pack tax on cigarette products to contract with local organizations to provide a range of services for young children, families with young children, and providers who work with them.

The Commission prioritizes areas for funding as follows:

The Commission supports many programs that help to promote the healthy development of young children in Sutter County. The Commission focuses on prevention, early intervention, education, and health outreach to improve the physical and emotional health of young children. The Commission advocates for comprehensive child development policies that promote safe and healthy environments and support integrated families services for expecting parents and children up through the age of five.

This Policy and Procedure Manual is a guide for Contractors and Commission staff as they implement the Commission's vision through the execution of program contracts.

REFERENCES

Proposition 10 Statues, California Health and Safety Code – Section 130100-130155
California Cigarette and Tobacco Product Tax Law – Chapter 2, Section 30131
California State Controller's Standards and Procedures for Audits of Local Entities Sutter
County Ordinance Code - Chapter 75

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OPERATIONAL POLICIES (100-199)

Section 100 - Amending these Policies and Procedures

1. POLICY:

A standard process shall be used to amend these policies and procedures of the Commission.

2. PURPOSE

The purpose of this policy is to ensure the Commission keeps their policies updated and maintain compliance.

3. PROCEDURE:

The Executive Director and Commission staff will develop drafts of new or revised policies and procedures. The drafts of the new or revised policies and procedures shall be forwarded to the appropriate committee(s). The appropriate committee(s) will review the drafts submitted and take one or more of the following actions:

- Approve and forward to the Commission for its consideration.
- Approve with additions, deletions or corrections, and forward them to the Commission for consideration.
- Forward to the appropriate committee.
- Recommend further review of the draft.

Section 101 – Conformance with Sutter County Policies and Procedures

1. POLICY

Sutter County Children & Families Commission will conform to all policies and procedures established by the County of Sutter, with the exception of those separately proposed and specifically approved by a majority vote of the Commission. Those Commission Policies will be recorded in the official minutes of the Commission.

2. PURPOSE

Sutter County Children & Families Commission will conform to the County of Sutter Policies and Procedures to ensure compliance with laws and regulations, and streamline internal processes.

3. PROCEDURE

3.1 Sutter County Children & Families Commission will conform to the Sutter County Personnel Policies, including but not limited to Salaries and Benefits Policies, for all Commission staff.

3.2 Sutter County Children & Families Commission will conform to the Financial and Administrative Policies and Procedures established by the County of Sutter, including but not limited to Fixed Asset Policy, Treasurer’s Investment Policy, Volunteer Policy, Cash Handling Procedures, Smoke-Free and Tobacco-Free Facilities and Campuses.

3.3 Sutter County Children & Families Commission will conform to the Department of Health and Human Services Code of Conduct.

3.4 Sutter County Children & Families Commission will conform to the Sutter County Travel and Business Expense Policy for all Commission employees, with two amendments:

- Substitute the word “Commission” in the policy in place of “Board of Supervisors” with regards to approval for applicable travel.
- Include Auditors memo regarding meal reimbursement rate.

Section 102- Use of Commission Logo

1. POLICY:

Contractors and partnering organizations are required to use the Commission's name and logo on all printed materials, promotional information, products, etc., that are funded by the Commission.

2. PURPOSE

The purpose of this policy is to stipulate guidelines for the use of the Commission's name and official logo on documents and publications produced by Commission grantees and partnering organizations. *Reference the Service Provider Manual for Logo Placement.*

3. PROCEDURE:

Commission contractors/partners must adhere to the following:

- Contractors and partnering organizations shall use the Commission logo on printed or electronic materials, promotional information, products, etc. and must receive prior approval from the Commission's Executive Director or designee prior to the final printing or production of the product.
- Organizations that use the Commission logo are required to submit samples of the final product to the Commission for their information and potential use.
- The following language, or something similar thereto, is to be included on all materials, promotional information, products, etc., funded by or partially by the Commission:
 - This program is made possible by a grant from the Sutter County Children & Families Commission.
 - Funded (in part) by Sutter County Children & Families Commission.
 - This program is made available through a partnership with the Sutter County Children & Families Commission.

Section 103 - Annual Review of Strategic Plan

1. POLICY

Annually, the Commission shall conduct a review of the progress made towards implementing its strategic plan and shall consider changes to the plan made necessary by changing conditions. This review shall include monitoring compliance with the California Children & Families Commission Act of 1998.

2. PURPOSE

In accordance with Section 130140(a)(1)(C)(iii) of the California Health and Safety Code and Sutter County Ordinance Code Chapter 75-007(E).

3. PROCEDURE

3.1. Annually, a review of the Commission's strategic plan shall be scheduled on the agenda of a regular or special Commission meeting. At the appointed time and place, the Commission will conduct a review of its strategic plan. Part of the review will be an assessment of the Commission's continuing compliance with the "California Children and Families First Act of 1998". This program compliance review can best be accomplished as a part of the Commission's annual review of its strategic plan.

3.2. The Commission will conduct at least one public hearing on its proposed strategic plan before the plan is adopted. (Section 130140(a)(1)(D)). When the plan is amended, a public hearing will be held and a copy sent to the Sutter County Board of Supervisors and to the State (Section 130140(a)(1)(E and F)).

3.3. The Commission's strategic plan must be consistent with and in furtherance of the purposes of the Act (Proposition 10) and any guidelines adopted by the State Commission at the time the plan is adopted. (Section 130140(a)(1)(C)(i)).

ADMINISTRATIVE POLICIES 200-299

Section 200 - Intended Use of Funds

1. POLICY

It is the policy of the Commission to support local not-for-profit organizations, family-care homes, community-based organizations, faith-based organizations, schools, and government programs by making funds available for services and/or projects for children zero through five years of age. This may include but not limited to pregnant moms/expectant dads, children up to their 6th birthday, and/or parents/guardians with children zero through five years of age, and/or siblings of children zero through five years of age.

2. PURPOSE

In accordance to parameters set in state law, and the policies of the State Commission, the Sutter County Children & Families Commission is charged with the responsibility of administering these funds for the County. The statute governing these tax revenues provides great flexibility to counties in structuring local commissions, and in developing local policies and procedures for allocating and distributing the funds.

3. PROCEDURE

3.1 All Commission request for proposals, contracts and all sub-contracts negotiated by its contractors will be developed under this policy.

3.2 The Commission, standing committees, and/or Executive Director are responsible for implementing and executing this policy by developing request for proposals and contracts consistent with this policy.

3.3 The Commission may purchase direct services to children zero through five years of age and their families, or for educational services, promotional and educational materials, public awareness campaigns, real property, and/or other capital improvements, and/or to make capital investments such as building new facilities, or purchasing other durable equipment for long term use, as long as that use is consistent with the goals of the statute.

3.4 The Commission may choose to invest funds in a variety of financial products in order to generate more revenue for the future when it is anticipated that funds will diminish.

3.5 The Commission may consider using funds to leverage other fund sources, including state, federal, and private foundation sources, provided that the use is consistent with the goals of the statute.

3.6 The Commission must be able to demonstrate that certain outcomes have been met as a result of funding decisions made.

3.7 The Commission must conform to audit guidelines appropriate to its structure as

provided by the state.

3.8 The Commission must conform to its own Bylaws, and its own policies, once established.

Section 201 - Supplantation

1. POLICY

It is the policy of the Commission to supplement an existing level of service through expansion (increased participation), enhancement (improvement or enrichment), or the provision of new services and not to supplant existing levels of service funded by state or local general funds. Under difficult economic circumstances the Commission may consider funding levels of service funded by state or local general fund dollars only if the proponent demonstrates Proposition 10 funds will improve or supplement the quality or quantity of service. The Commission shall have the discretion to redefine existing levels of service.

2. PURPOSE

In accordance with California Revenue and Taxation Code section 30131.4, all moneys raised pursuant to taxes imposed by Section 30131.2 shall be appropriated and expended only for the purposes expressed in the California Children and Families Act, and shall be used only to supplement existing levels of service and not to fund existing levels of service. No moneys in the California Children and Families Trust Fund shall be used to supplant state or local General Fund money for any purpose.

3. PROCEDURE

3.1 The Commission definition of the statutory language is defined below:

- Supplant is defined as replacing one source of funds with a different source so that the original source of funds can be conserved or used for another purpose.
- Supplement is defined as enhancing the quality and/or increasing the quantity of an existing level of service through the addition of funds to the funds already being used to provide the existing level of service.
- Existing level of service is defined as the level of service being funded at the time the applicant makes a request for funds from the Commission, or the level of service that had been funded by other sources during the immediately preceding fiscal or program year, as defined by the previous funding source.

3.2 The prohibition on supplanting does not make reference to privately funded or Federally funded programs; therefore, the prohibition applies only to services currently funded by State or local general funds.

Section 202 - Conflict of Interest Code

1. POLICY

It is the policy of the Commission that when considering matters, Commission members who have a financial interest or a conflict, as defined by law, or appear to have a financial interest or conflict, are to abstain from discussions and votes on the matter.

2. PURPOSE

In accordance with the Political Reform Act, Government Code Section 81000 et seq., and California Health and Safety Code Section 130140(d)(4)(A) which requires the Commission to adopt a conflict of interest code for its members.

3. PROCEDURE

The Fair Political Practices Commission has adopted a regulation, 2 CCR 18730, containing the terms of the Standard Conflict of Interest Code. The terms of this Code, and any amendments to it duly adopted by the Fair Political Practices Commission, are hereby incorporated into the Commission's policies by this reference.

Under the provisions of the Standard Code, designated employees shall file Statements of Economic Interest on a form commonly known as "Form 700". Listed below are the disclosure categories:

- Category 1: All sources of income, interest in real property and investments and business entities located in or doing business in Sutter County.
- Category 2: Investments and business positions in business entities and sources of income which provide services, supplies, materials, machinery or equipment of the type utilized by the Commission.
- Category 3: Consultants shall disclose, as set forth in Category 1, subject to the following limitation. The Executive Director may determine in writing that a particular consultant, although a "designated position", is hired to perform a range of duties that are limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such a written determination shall include a description of the Consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. Such determination shall be a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code.

In recognition that the Commission is administered by a nine-member policy making body with an Executive Director, the following employees and others constitute the designated and disclosure categories described in the State Code.

Designated Positions	Category
Commissioners	1
Executive Director	1

Attorney	2
Consultant(s)	3

At the time a matter comes before the Commission in which a Commissioner has a financial interest or a conflict, or when it appears a Commission member has a financial interest or conflict, the Commission member is to so inform the Chair of the Commission. Unless otherwise advised by Counsel, the member should abstain from discussions and votes on the matter. It is the practice of the Commission that when Commissioner recuse themselves, they leave the meeting room during the length of the agenda item.

A commission is prohibited from entering into a contract if:

- (a) The contract or grant directly relates to services to be provided by a Commissioner or an entity the Commissioner represents, or the contract or grant financially benefits a Commissioner or the entity he or she represents; and
- (b) The Commissioner fails to recuse himself or herself from making, participating in making, or attempting to influence a decision on the grant or grants.

Commissioners will complete and file their Statement of Economic Interest Form 700 annually with the Sutter County Clerk of the Board. The Sutter County Clerk of the Board will keep the statements on file in the County Administrator Office.

Section 203 - Unsolicited Funding Proposal

1. POLICY

Unsolicited funding proposals are proposals from agencies or individuals that were not invited or requested by the Commission. The proposals usually take the form of plans, budgets, or narratives that request funding from the Commission. The Commission reserves the right to reject any and all applications and to waive informalities or irregularities.

Unsolicited funding proposals must target children (0 through 5 years of age) and their families and must be consistent with the Commission strategies:

- Improved Family Functioning: Strong Families
- Improved Child Development: Children Learning
- Improved Child Health: Healthy Children
- Improved Systems of Care: Community Collaboration

2. PURPOSE

The purpose of this policy is to provide guidance for Commission and the public related funding requests outside of the regular funding processes.

3. PROCEDURE

3.1 Individuals or organizations wishing to submit an unsolicited funding proposal should deliver the proposal to the Commission's office by the end of the calendar year for the Commission to determine for its upcoming fiscal year.

3.2 The Executive Director may approve requests unsolicited funding proposals so long as:

- The planned use of funds is spent within the same fiscal year.
- It is the individuals or organizations first request; sequential requests will be evaluated by the Commission.
- The amount requested adheres to the Commission's purchasing and procurement policies.
- The amount requested does not require an amendment of the Commission's approved fiscal budget.

3.3 A decision by the Executive Director to approve unsolicited funding proposals must be reported to the Commission at its next regular meeting.

3.4 The Executive Director may evaluate the proposals and may make a recommendation about possible funding. The Executive Director may forward a recommendation to the Commission for its consideration according to the Commission's contracting and procurement policy.

3.5 Individuals or organizations submitting an unsolicited funding proposal will be notified within ten (10) business days following any Commission action involving the proposal.

3.6 Individuals or organizations with proposals not approved for funding under regular funding processes may not bring those same proposals before the Commission for a twelve (12) month period commencing with the Commission decision.

Section 204 – Support of Community Events and Professional Education Symposia

1. POLICY

Sutter County Children & Families Commission may provide funding to community partners for materials or sponsorships to support community awareness and education consistent with Commission goals and the Strategic Plan. The Commission may also support professional education events directly related to Commission goals and the Strategic Plan

2. PURPOSE

At times, community-based organizations and other partners request Commission's participation in or sponsorship of health fairs, family fairs, and other local community events and professional education symposia. The Commission recognizes that sharing information with the community is an essential element in promoting the vision of Proposition 10, facilitating community involvement, and increasing community awareness and understanding of children ages 0 through 5 and their families.

3. PROCEDURE

3.1 Allocation of Funds. The Commission will identify funds to be used for public information and education activities and support of professional educational events as part of the annual budget.

3.2 Requests for Commission Support. The Executive Director will evaluate requests for support of public information, materials and education activities (such as community events/sponsorships) and for support of symposia, conferences or other professional education activities by using the following guidelines:

- The purpose of the activity, event, symposium, or conference must be consistent with the Commission's goals and Strategic Plan.
- The request must be for educational/informational materials for children ages 0 through 5 and their families.
- Funding will strengthen community capacity to meet the needs of children ages 0 through 5 and their families.
- The requested funds must be available.
- The requested funds must be used to supplement, not supplant, other funding.
- The request must meet criteria in Sutter County Children & Families Commission Sponsorship Request Guidelines.
- The requestor must complete Sutter County Children & Families Commission Sponsorship Application.

3.3 Funding of Commission-Initiated Events. The Commission may fund public information or education activities, or professional education events that it has initiated to advance its vision and current priorities.

3.4 The Executive Director is authorized to approve funding up to \$5000.00 for any single

public information or education event or professional education event that meets established guidelines.

Section 205 – Letters of Support or Acknowledgement/Memorandums of Understanding to Local Programs/Partners

1. POLICY

The Sutter County Children & Families Commission is at times asked to provide letters of support/Memorandums of Understanding for some of its funded programs that are applying for other funding opportunities or programming opportunities, such as federal grants.

Three types of requests can be made of the Commission:

- 1) Letter of Support: Requires the Executive Director to make a finding that the proposed program/project is consistent with the Commission’s Strategic Plan.
- 2) Letter of Acknowledgement: Requires the Executive Director, on behalf of the Commission, to express its awareness of local organization’s application for funds.
- 3) Memorandum of Understanding: Requires the Commission’s partnership with local organization on a program or project, which may involve a commitment of resources.

It is the policy of the Commission to advocate for funders to:

- 1) Provide 30 day notice for request of a letter of support or a letter of acknowledgment; and
- 2) Provide 60 day notice for a request of a Memorandum of Understanding.

Further, it is the policy of Sutter County Children & Families Commission that letters of support and letters of acknowledgement do not make a commitment of Commission funds. The Executive Director of the Commission has authority to execute and sign letters of support or acknowledgement, without Commission approval, but will notify the Commission by copy of the letter. Memorandum of Understanding’s involving policy decisions and/or commitment of future funding will be presented to the Commission. The Commission will review, and if appropriate, make a finding that the program/project is consistent with the Strategic Plan, and vote to approve.

2. PURPOSE

To establish a Commission policy to provide letters of support/Memorandums of Understanding (MOU) to local programs or partners that are providing services to children 0 to 5 years of age, that are consistent with the Sutter County Children & Families Commission Strategic Plan and further the mission, vision, values and operating principles of the Commission.

3. PROCEDURE

3.1 Local programs/partners seeking letters of support/acknowledgement/MOUs will make a request in writing to the Executive Director, provide documents that outline funding opportunity, and provide an executive summary that identifies the outcomes of the proposed program.

3.2 Commission staff will review all documents, and:

- For a letter of support or acknowledgement: Prepare the letter of support

or acknowledgment for signature by the Executive Director, if the program meets the prescribed criteria.

- For a Memorandum of Understanding: Forward the MOU to County Counsel for review, if applicable. Present the MOU to the Commission for approval. Once approved, the Commission Chair will sign, unless authority is delegated to the Executive Director by action of the Commission.

Section 206 – Legislative Advocacy

1. POLICY

Sutter County Children & Families Commission legislative advocacy policy guidelines are as follows:

1.1 The Commission remains non-partisan.

1.2 The Commission develops and endorses a Policy Platform to guide Sutter County Children & Families Commission advocacy efforts and identify relevant policy areas. The Policy Platform is aligned with the following four priorities identified in the Sutter County Children & Families Commission Strategic Plan:

- Improved Family Functioning: Strong Families
- Improved Child Development: Children Learning
- Improved Child Health: Healthy Children
- Improved Systems of Care: Community Collaboration

1.3 The Commission may take positions on federal, state and local policy matters, which may include legislation, regulations, local ordinances, and ballot measures, that affect:

- Sutter County’s children, prenatal to age five and their families
- Sutter County Children & Families Commission ability to work towards its mission
- Sutter County Children & Families Commission status or its operations, including resource development

1.4 The Commission may develop positions:

- Proactively – taking a leadership role to convene stakeholders on a policy matter
- Reactively – responding to a proposed policy matter

2. PURPOSE

In response to passage of Proposition 10, the California Children and Families Act, the Sutter County Board of Supervisors created the Commission to promote, support and improve early childhood development from the prenatal stage to five years of age. By statute, the Commission is the exclusive County entity charged with strategic planning for and the expenditure of Proposition 10 tobacco tax revenues on services for children 0-5 years of age and their families.

The Commission has adopted a Strategic Plan to further the goals of the Act. As it implements the Strategic Plan, the Commission is committed to creating a seamless, family-focused, integrated system of services and support for children age 0 through 5 and their families, and ensuring that all children in Sutter County are healthy, are loved and nurtured, and enter school as active learners. The Commission is further committed to coordinating and leveraging resources to fulfill its mission.

The Commission strives to fund services and programs that benefit all Sutter County children within the target population. Due to funding limitations, not all programs and initiatives can be funded. The Commission recognizes that advocating for legislation or policy to positively impact the lives of children and families, given that every need cannot possibly be met by Proposition 10 funding alone, shall advance the mission.

Sutter County Children & Families Commission strategic investments place great emphasis on systems change and capacity building. The Commission's Strategic Plan calls for advocating for young children and families by building shared vision and creating public will for programs for young children. This policy establishes the parameters for advocacy activities and expressly permits Sutter County Children & Families Commission to advocate for young children strategically, proactively and in a timely manner.

3. PROCEDURE

The Executive Director shall determine whether a policy matter is in alignment with the Strategic Plan and Policy Platform, how the issue will affect children prenatal to age five and their families, and/or Sutter County Children & Families Commission. If the policy matter is in alignment, staff shall research how similar organizations supporting young children are advocating on the issue, particularly the position being taken by the First 5 Association and First 5 California, and then the Executive Director shall determine which activities to engage in.

3.1 The Executive Director has the authority delegated by the Commission to engage in advocacy activities, including but not limited to:

- Provide testimony at public hearings
- Provide written comments and/or letters on proposed policy matters and ballot measures
- Meet with legislators and elected officials
- Write or co-sign letters to legislators and policy makers
- Collaborate with county agencies, funders, nonprofits, etc.
- Interact with the Media
- Educate the public and policy makers (trainings, white papers, educational forums)
- Develop parent leadership
- Convene experts
- Public policy and advocacy related information on the website, in print media formats and on social media

The Executive Director and/or Commission Chair shall have signature authority on letters and written comments. Ideally, both the Executive Director and the Commission Chair can co-sign letters to emphasize the position taken.

The Executive Director shall report on policy and advocacy actions taken at regularly scheduled Commission meetings and provide copies of any signed letters, when applicable.

Section 207 – Signatory Authority

1. POLICY

To establish a policy authorizing the Executive Director to approve certain administrative expenditures on behalf of the Sutter County Children & Families Commission.

2. PURPOSE

This policy provides guidance on signature authority for documents and transactions necessary in the course of operations of the Sutter County Children & Families Commission for the purposes of strategic planning and the allocation of revenue consistent with the Strategic Plan. The Executive Director of the Commission requires the authority to approve administrative expenses incurred in the day-to-day operations of the Commission.

In order for the Commission to conduct business in a more efficient and expeditious manner, it is necessary to develop a policy allowing the Commission to better perform its day-to-day operations in the disbursement of certain Commission expenditures. This policy will ensure that the Commission is responsive in meeting its financial obligations in a timely manner, while still maintaining control and accountability over expenses incurred on behalf of Commission-related activities.

3. PROCEDURE

3.1 The Executive Director shall have signatory authority to approve operational expenditures and program funding contracts incurred on behalf of the Commission where appropriations have been included and approved by the Commission in the annual budget.

3.1.1 The Executive Director will approve disbursements in accordance with the annual budget.

3.1.2 The Executive Director will review account reconciliations and financial reports regularly before submitting to the Commission for approval.

3.1.3 The Executive Director and/or Commission Chair will sign contracts, memorandums of understanding, leases and other agreements up to the amount delineated in the most recently approved annual budget and coordinating line item. Per Contracting and Procurement Policy, Commission staff obtains Executive Director and/or Commission Chair signature on contract(s).

3.1.4 Contracts, memorandums of understandings, leases or other agreements representing in excess of the coordinating line item of the most recently approved annual budget must be approved by the Commission prior to signature.

3.1.5 The Executive Director will sign letters of support and recommendation, as well as make recommendations to legislators and policy makers, in alignment with the most recently approved Strategic Plan and Policy Platform.

3.1.6 The Executive Director is authorized prepare, sign and submit external grant applications and requests for funding in alignment with the most recently approved Strategic Plan.

3.1.7 The Executive Director is authorized to prepare and sign student work-study and directed field experience agreements with institutes of higher education.

3.1.8 The Executive Director is authorized to prepare and sign volunteer activity agreements.

3.1.9 The Executive Director is authorized to prepare and sign personnel forms such as performance reviews and hiring and termination authorizations.

3.1.10 The Executive Director is authorized to prepare and submit penalty correspondence (compliance warning letter, corrective action plant, etc.) to contractors for failure to adhere to administrative, programmatic and/or fiscal requirements.

3.1.11 The Executive Director is authorized as the Commissions CAL-Card Program Administrator.

Section 208 – Records Retention/Destruction Policy

1. POLICY

It is the policy of the Sutter County Children & Families Commission to establish guidelines governing retention, storage and destruction of Commission records.

2. PURPOSE

This policy sets forth the guidelines and procedures pertaining to the retention and destruction of Commission records. Commission records shall be retained in full compliance of applicable law and the records retention schedules in this policy. No public record shall be disposed of except in compliance with this policy and applicable law.

3. PROCEDURE

3.1 “Commission Records” includes any writing containing information relating to the conduct of the Commission’s business prepared, owned, used, or retained by the Sutter County Children & Families Commission or its staff, regardless of physical form or characteristics.

All finance-related documents and data will be retained and maintained by the Auditor-Controller Department following generally accepted accounting principles and standards set forth by independent auditors.

Documents to be retained, including agreements and contracts, records for grantees, funded awarded contracts and non-funded grant and contract applicants, solicitation materials, outreach effort documentation, proposals from all bidders, and monitoring documentation, shall be retained for a minimum of three (3) years after either 1) the termination date of the grant/contract OR 2) the date the final audit of the grant/contract is completed. Sutter County Children & Families Commission staff shall endeavor to maintain complete files in an easily accessible location to facilitate review of all documents relating to particular contract or grant.

Retention, purging, and destruction of records shall be permitted only in compliance with the requirements of the Public Records Act and other applicable codes or regulations.

3.2 The Executive Director or designee will monitor the procedures for this policy.

3.3 The retention period is indicated and dependent upon the subject matter as set forth on the Records Retention Schedule. The original or a true and accurate copy of the original should be maintained for the time period indicated.

3.4 **Destruction of Records:** Prior to destroying any records, a list will be made of all records that are to be destroyed and presented to Commission for approval of destruction. The list will be approved in writing by the Commission Chair and filed in the Sutter County Children & Families Commission office.

3.5 **Duplicate Records:** Pursuant to Government Code Section 34090.7, duplicate records less than two years old may be destroyed if the duplicates are no longer required.

3.6 See Records Retention Schedule below:

RECORDS RETENTION SCHEDULE

Minimum Period for Categories of Records:

Type of Record	Retention Period*
COMMISSION RECORDS	
Ordinances	Permanent
Bylaws	Permanent
Commission agenda, minutes and associated attachments	FY + 3 years
Authorizations and appropriations for expenditures	FY + 3 years
Policies, general	FY + 3 years
Strategic Plans	Permanent
ACCOUNTING	
Audited Financial Statements/Reports	Permanent
Accounts payable: invoices from vendors/contractors	FY + 3 years
Grant Applications, Scoring Materials, Copies of Intent to Award Letters	FY + 3 years
Claims/Invoices/Expenditure Reports to Contractors	FY + 3 years
Budgets	FY + 3 years
PROCUREMENT	
Formal Bids (RFA, RFQ, etc.)	FY + 3 years
CONTRACTS/AGREEMENTS/LEASES	
Leases	Termination + 3 years
Original Signed Contracts	Termination + 3 years
REPORTS/COMPLIANCE	
Annual Evaluation Report	FY + 3 years
Annual Report to First 5 California	FY + 3 years
Annual Certification of Compliance with Statute to First 5 California	FY + 3 years
INSURANCE	
Insurance Policies	Closed + 3 years
GENERAL	
Marketing and promotional materials	FY + 3 years

*FY = Current Fiscal Year

Section 209 – Confidentially Policy

1. POLICY

It is the policy of the Sutter County Children & Families Commission to ensure that the information received in the Commission office remains confidential, and to ensure that the information received in the offices of contractors/grantees remains confidential.

This policy applies to all Commission employees, all contractor/grantees, grantee employees, and grantee sub-contractors, and the subsequent functions, information and data collected in performance of the duties as defined under the contract/grant.

2. PURPOSE

Proposition 10 mandates County Commissions craft a strategic plan that mobilizes the community's resources to ensure that all children birth through age five enter school in good health ready and able to learn. Each County Commission must assure that Proposition 10 funds are well spent and managed and that all program planning is directly tied to measurable outcomes or results. Sutter County Children & Families Commission, in developing an accountability framework to collect data, measure the outcomes and impact of services, and report the results, recognizes the Commission and Contractor/Grantee responsibility in maintaining the privacy of personal information.

In order to track and report outcomes for children and families receiving Proposition 10 funded-services, counties may collect individually identifiable information that will minimize duplication and track all common outcome data collected across a system. Sutter County Children & Families Commission, and the contractor/grantees, will collect personally identifiable financial, demographic health, social service, school, and other sensitive information and will need to have identifiers and strategies in place that link information about families across agencies for the purpose of evaluation and service delivery without compromising the family's confidentiality.

As important as it is for Sutter County Children & Families Commission to be accountable and to collect outcomes-related data, we must also ensure that essential data collected will not invade privacy, breach confidentiality, or cause harm. To this end, Sutter County Children & Families Commission adopts this policy on confidentiality. A breach of this policy may result in the termination of the Commission employee, and termination of the contractual agreement between the Commission and the contractor/grantee.

3. PROCEDURE

All new Commissioners, Commission employees, and grantees will be given a copy of the Confidentiality Policy at the time of hire or appointment. A Confidentially form will be signed and put in their Commission or Contract file.

Section 210 – Smoke Free Policy

1. POLICY

Sutter County Children & Families Commission recognize the hazards caused by exposure to secondhand smoke, as well as the life-threatening disease linked to the use of all forms of tobacco. Sutter County Children & Families Commission are committed to provide a safe and healthy community in which to work, visit and live. It shall be the policy of Sutter County Children & Families Commission to provide a smoke-free environment for all children, families, employees, visitors and others.

2. PURPOSE

The Commission recognizes the importance of protecting the health and safety of children, families, employees, visitors, and others and has adopted a smoke-free policy requiring a smoke-free provision be present in any agreement between the Commission and programs funded by the Commission.

3. PROCEDURE

All programs contracting to receive funding from the Commission must comply with this policy throughout the duration of their contract term. The smoke-free policy must apply to all employees, contractors, service employees, visitors, and others. The policy must include, but is not limited to the following:

3.1 The use of tobacco products, including smokeless tobacco and electronic devices that simulate smoking, and recreational cannabis (marijuana smoking and vaping) is prohibited within the confines of the Contractors buildings and vehicles. This includes the lobby, entryways, offices, break/lunchroom, restrooms, and any other enclosed areas or buildings leased, occupied or owned by the Contractor.

3.2 The advertisement and promotion of tobacco companies, tobacco brands, tobacco products, including smokeless tobacco, is prohibited by Contractor. Advertising and promotion includes, but is not limited to, the use of signage, banners, logos, and incentive items.

3.3 Contractor shall provide information, resources and/or training to staff, parents and/or clients regarding tobacco cessation and support programs.

3.4 Contractor shall provide staff, parents, and/or clients with information and materials regarding secondhand smoke exposure and tobacco-related topics. These materials can be obtained at no-cost from Sutter County Human Services – Health Division.

3.5 Contractors must comply with applicable Federal, State, County ordinances and codes, including Labor Code section 6404.5.

Section 211 – Breastfeeding Friendly Policy

1. POLICY

It is the policy of the Sutter County Children & Families Commission to promote and support breastfeeding in Sutter County.

2. PURPOSE

Studies show breastfeeding is a low-cost strategy to improve the health outcomes of babies and mothers. However, in Sutter County, only a small number of mothers make the choice to exclusively breastfeed their newborn babies. Society's stigma associated with breastfeeding, lack of information, support at home, at the workplace, and in public places influences a mother's decision to breastfeed. In California, mothers have the right to breastfeed in public (CA Civil Code Section 43.3).

The Commission embraces the importance of supporting and encouraging mothers to breastfeed their babies for as long as possible and has adopted a Breastfeeding Friendly (BFF) Policy to be in place in any Agreement between the Commission and programs and services funded by the Commission.

3. PROCEDURE

All service providers and vendors contracting with the Commission must agree to comply with the Commission's BFF Policy, which requires the display of the Commission's BFF logo in a highly visible location such as the lobby/reception area, front window or front entrance of the agency's office or service location.

By displaying the BFF logo, agencies promote awareness and support of California Civil Code – Section 43.3 - a mother's right to breastfeed in public.

CA Civil Code Section 43.3: Notwithstanding any other provision of law, a mother may breastfeed her child in any location, public or private, except the private home or residence of another, where the mother and child are authorized to be present.

The Commission's BFF logo will be provided in the form of a window cling with the phrase "Breastfeeding Friendly." Commission staff will work with service provider/vendor to identify ideal location to display the logo. In the event the window cling is not feasible or appropriate, Commission staff may authorize other supporting items such as a clear counter stand or a printed wall sign.

In addition, when feasible the Commission highly encourages an event or community gathering of 100 or more individuals for two or more hours where Commission funds are used to support the event that a BFF space be made available to event participants and the BFF space must be clean, include comfortable sitting and have access to electricity. The BFF space should be advertised in all event materials prior to and during the event.

All service providers and vendors receiving funds from the Commission must agree to comply with this policy throughout the duration of the contracting term/partnership.

Section 212 – Electronic Device Loan Policy

1. POLICY

The Commission owns iPads, cameras, projectors and other electronics that may be borrowed from the Sutter County Children & Families Commission office. This policy refers to these devices as *electronic devices* and defines the borrowing procedures and eligibility.

2. PURPOSE

Sutter County Children & Families Commission seeks to provide materials in a variety of formats to meet the educational, informational and recreational needs of the early learning educators, contractors and community partners, and offers a selection of electronic devices for loan.

3. PROCEDURE

3.1. Eligibility

- Only Sutter County early childhood educators, contractors and community partners may check out electronic devices. Patrons must read, agree to, and sign the Loan Agreement.
- The Loan Agreement must be read and signed each time a device is borrowed. Only one device at a time can be checked out per person. Under no circumstances will a user be allowed to check out a device for another person.

3.2. Loan Period

- Electronic devices can be checked out from the Sutter County Children & Families Commission office during regular operating hours.
- The loan period is 10 business days. Devices must be returned in person to the Sutter County Children & Families Commission office before the closing time on the 10th day.
- Devices are loaned on a first-come, first-served basis. Sutter County Children & Families Commission cannot guarantee that a device will be available. Holds may be placed; with the understanding that this does not guarantee that the user will be “next in line”.
- Devices may be renewed once (in person or by phone) provided there are no holds on the item.

3.3. Fine and Damages

If device is returned past its due date, the borrower may be restricted from borrowing in the future. The working condition of the device will be assessed before checkout and upon its return. Users are responsible for damage and/or loss or theft of loaned devices. Users are required to report any problems experienced with a device during the borrowing period. If a device is 5 days overdue, it is considered lost or stolen, and the borrower will be charged for its replacement.

- Replacement costs for lost or stolen devices and/or accessories are as follows:

oiPad	\$650.00
oPower Cords or Adapters	\$50.00
oProjector	\$150.00
oCamera	\$75.00
oCarry Bag	\$15.00

- Damage charges will be assessed based on the actual repair costs.

3.4. Files, Data and Apps (Privacy)

The iPad will come with preloaded files and applications. User may sync additional data and applications, with the understanding that data may be wiped and replaced with standard files and applications when the device is returned. Any apps or media purchases by the borrower during the loan period must be done with the borrower's own funds, and is not the responsibility of the Commission. Any data or documents saved to the iPad by the borrower during the loan period will be erased during the restore process.

Section 213 - Purchasing and Payables

1. POLICY

Recognizing that not all of its provisions are applicable to Commission operations, the County of Sutter's purchasing and procurement policies shall be the purchasing and procurement policies for the Sutter County Children & Families Commission. In which all purchases (supplies and equipment), agreements (services), or grants (sponsorship) must be consistent with the Commission's Strategic Plan and no individual may contract on behalf of the Commission unless he or she has been specifically delegated authority by this policy, state law, or other act of the Commission.

2. PURPOSE

In accordance with Section 130100-130155 of the California Health and Safety Code; Article 7 (commencing with Section 54201) of Chapter 5 of Part 1 of Division 2 of Title 5 of the Government Code; Chapter 2 (commencing with Section 2000) of Part 1 of Division 2 of the Public Contract Code; Section 3410 of the Public Contracts Code; and Chapter 3.5 (commencing with Section 22150) of Part 3 of Division 2 of the Public Contract Code.

3. PROCEDURE

3.1 The Commission gives the Executive Director the authority to negotiate, execute and amend purchases (supplies and equipment), agreements (services), or grants (sponsorships) in support of the Commission's Strategic Plan in the amount of \$5,000.00 or less from the same vendor, in the same fiscal year. Purchases (supplies and equipment), agreements (services), or grants (sponsorships) in excess to \$5,000.00 from the same vendor, in the same fiscal year, will require Commission approval.

3.2 Incremental contracting with the same vendor cannot be used to avoid the requirements of this policy and services shall not be artificially divided so as to constitute or to maintain purchase amounts within authorized levels.

3.3 In the provisions where the Sutter County purchasing and procurement policies are not applicable, the Commission has identified an informal selection process for purchases (supplies and equipment), agreements (services), or grants (sponsorships) of \$5,000.00 or less. An informal selection process for vendor selection involves the solicitation of at least three offers in writing and does not require for public notice. The Executive Director shall obtain documentation of three offers. If it is not possible to obtain three offers, the reasons should be documented in writing. If the solicitation is by phone, a written record must be created. The Executive Director should maintain adequate records relating to all informal procurements. Such records and other documents related to informal vendor selection may be subject to audit.

3.4 In the provisions where the Sutter County purchasing and procurement policies are not applicable the Commission has identified a formal selection process (Section 214) for (supplies and equipment), agreements (services), or grants (sponsorships) greater than \$5,000.00. A formal selection process for vendor selection involves a public solicitation of proposals.

Section 214 - Contracting and Procurement

1. POLICY

Recognizing that not all of its provisions are applicable to Commission operations, the County of Sutter's purchasing and procurement policies shall be the purchasing and procurement policies for the Sutter County Children & Families Commission. In which all contracts and grants must be consistent with the Commission's Strategic Plan and no individual may contract on behalf of the Commission unless he or she has been specifically delegated authority by this policy, state law, or other act of the Commission.

2. PURPOSE

In accordance with Section 130100-130155 of the California Health and Safety Code; Article 7 (commencing with Section 54201) of Chapter 5 of Part 1 of Division 2 of Title 5 of the Government Code; Chapter 2 (commencing with Section 2000) of Part 1 of Division 2 of the Public Contract Code; Section 3410 of the Public Contracts Code; and Chapter 3.5 (commencing with Section 22150) of Part 3 of Division 2 of the Public Contract Code.

3. PROCEDURE

The Commission shall enter into formal contracts with selected providers or vendors in support of its Strategic Plan. In the provisions where the Sutter County purchasing and procurement policies are not applicable, the Commission shall approve a formal selection process (such as the one outlined below) for awarding Proposition 10 funds to qualified providers in amounts exceeding \$5,000.00. The threshold is determined and approved by the Commission. Contracts should link the performance of providers to the goals of the Strategic Plan through the use of indicators of performance (outputs and/or outcomes), interagency linkages, or progress on sustainability to be achieved. The Commission shall take the necessary measures to ensure that providers comply with the terms of their contracts and deliver desired results.

3.1. Provider Selection

3.1.1. **Request for Proposals (RFP)**

The Executive Director will develop the RFP with general policy direction from the Commission as needed. All RFPs should be approved by the Commission prior to release. All RFPs should be sent to inquiring and relevant parties, posted on the Commission web site, and advertised in newspapers of general circulation in the County.

The RFP should include the following elements:

- A scope of work;
- Practical and policy information;
- Selection criteria and process;
- Date and time schedules;
- Notice of payment terms or restrictions; and,
- Requirements that prospective applicants must address or include in their proposal.

Before releasing the RFP, the Commission should develop and finalize a scoring evaluation plan. The Commission should evaluate proposals using some variation of the following process:

- A proposal review committee is formed of persons with knowledge or expertise in the field. The proposal review committee can be comprised of internal staff, Commissioners, community members, or some combination thereof.
- The Executive Director shall pre-screen proposals and eliminate those that do not meet basic requirements for eligibility or failed to complete the proposal package.
- All reviewers are asked to sign a standard conflict of interest form and confidentially statement, and to remove themselves from the committee if a conflict is presented.
- Staff shall develop a scoring matrix for each proposal that will provide consistency and guidance for rating responses.
- The Executive Director or other designated agent shall make a final recommendation to the Commission based on the results of the scoring matrix.
- Final approval of the award rests with the Commission.

3.1.2. Request for Qualifications (RFQ)

An RFQ is used when a Commission has specific requirements as to how services are to be delivered. In an RFQ, the applicant demonstrates their qualifications to provide those services according to the model that the Commission has specified. In addition, the Commission asks applicants to demonstrate their knowledge of, and commitment to, the specified model.

In contrast, an RFP is used when the specific service area is known and specified by the Commission, but the specific methods for providing the services are determined by each applicant, in a proposal format. Each applicant proposes their own method/model of providing services, and the Commission selects the one it feels will be most successful.

3.1.3. Sole Source Procurement

Sole source procurement should only be used when competitive procurement procedures are deemed infeasible for at least one of the following reasons:

- There is only one viable provider of the required service in the community.
- After solicitation of a number of sources, competition is determined to be inadequate.
- All local providers of a particular service will receive funding.
- The Commission is contemplating an effort that has not previously been done in the community and is therefore unable to either develop an RFP with sufficient specificity or to identify potential providers.
- The Contract is below a specified dollar threshold, as established by the Commission.
- The contractor or vendor is familiar with the Commission and is

knowledgeable of its unique needs.

Whenever sole source procurement is used, the rationale must be fully justified in writing and approved by the Commission or the Executive Director before a contract is signed. The documentation justifying sole source procurement should include the following:

- The effort made to solicit competitive bids or proposals, if any.
- A summary outlining the reason for the sole source based upon the allowable exceptions set forth above.
- Cost information in sufficient detail to support and justify the cost of the contract as reasonable and fair.
- Cost information for similar services and differences that should be noted and explained.
- Special factors affecting the cost under the contract.
- An explanation of why the Commission believes the cost is appropriate.
- A description of the contractor or vendor's previous work with the Commission and/or existing knowledge of the unique needs of the Commission.

3.1.4. Intent to Negotiate

This is a form of sole-source procurement to fulfill the unique mission of the Proposition 10 initiative. The Commission may select providers by engaging in community-based planning efforts in which stakeholders come together for the purpose of identifying specific needs and the providers best able to meet those needs. These meetings may result in an "intent to negotiate" with potential service providers. If this method of selecting sole-source providers is used, the dates and times of these meetings should be advertised well in advance and all potential providers must be invited to participate. Funds should not be awarded during these meetings. The natural bias toward competitive procurement should apply. Any exceptions should adhere to the guidelines outlined in this procedure.

3.1.5. Request for Information (RFI)

For cases in which a new effort is initiated and no apparent service providers exist, or where the Commission is not able to prepare an RFP, the Commission may elect to issue an RFI. The RFI should contain a description of the need to be met and/or results to be achieved and invite responders to provide approaches to meeting needs or achieving results. The RFI may or may not request a price.

3.1.6. Contract Renewal

Contract renewal options differ depending on the type of award. Contracts with time-limited terms must reapply for funds. In contrast, other contracts have time-limited terms, but are assumed to renew if the program continues in the commission's Strategic Plan and performance requirements are met.

Contracts that are assumed to renew still go through a performance requirement

review, typically annually, prior to release of funds for following years. To be eligible to renew, a contractor must have complied with Commission's required reporting responsibilities, must be making expected progress in meeting the program's scope of work, performance outcomes and must be meeting the general requirements of the contract's term and conditions. Multi-year contracts shall also go through an annual review to ensure these criteria are met.

The Commission will ultimately approve whether or not a new selection process is needed or if it is in the Commission's best interest to renew the contract. The Executive Director shall review all contracts six (6) months prior to expirations and provide the Commission a recommendation for approval.

3.2. Scoring/Evaluating of Proposals

The proposal review committee shall use a scoring matrix for each proposal that will provide consistency and guidance for rating responses. In developing criteria for scoring/evaluating proposals, by whatever means a contract is awarded – RFP, sole source, or otherwise – the Commission should use the principles outlined in the Sutter County Purchasing Procedures Guide.

Conflicts of interest within the review committee are likely to occur during the review process. The Commission members, Commission staff, or reviewers shall review a list of grant applicants and indicate those applicants for which they have a direct, indirect, or appearance of conflict of interest. The Commission's policies are consistent with the following state laws: Article 4 (commencing with Section 1090) of Chapter 1 of Division 4 of Title 1 of the Government Code; Article 4.7 (commencing with Section 1125) of Chapter 1 of Division 4 of Title 1 of the Government Code and Chapter 7 (commencing with Section 87100) of Title 9 of the Government Code.

Awards shall be made according to the type of solicitation and requirements set forth in the solicitation.

3.3. Notification and Appeals

Once a decision has been made, the Commission will notify all applicants in writing of results of the formal vendor selection process. As a courtesy, the notice may offer unsuccessful applicants the opportunity for a de-briefing after the contract has been awarded. In a de-briefing, Commission officials will explain to the unsuccessful applicant the rationale for the decision. The notice shall also outline the appeals procedures which shall require an appeal to be filed with the Executive Director within 10 business days of award. Upon receipt of a timely and proper appeal, the Commission or its designee will investigate the appeal and provide a written response to the applicant. The response shall be provided within 30 days of receipt of the appeal.

3.4. Contracts

Every contract document should identify the contracting parties and include four major elements: (1) scope of work, (2) contractor payment, (3) contract term, and (4) terms and conditions. Each element must be clearly defined in every contract so that the Commission's needs are met and the Commission and the contractor understand their performance obligations.

3.4.1. **Scope of Work**

The contract should:

- Clearly define performance, outcomes, and/or interagency linkages to be achieved.
- Identify the performance measures to be used to evaluate contract compliance.
- Identify project milestones as well as any service deliverables or tasks for which the contractor is responsible.
- Address the possible conditions that may arise during performance of the contract that would trigger additions or deletions to the scope of work, schedule, or consideration.
- Address how the activities contained within each contract are consistent with the Commission's Strategic Plan. This can be done via cross reference to the Strategic Plan.
- Additional descriptive information may be attached to the contract as an exhibit to help define the scope of work. This information often includes outcome measures and reporting guidelines.

3.4.2. **Contractor Payment**

The schedule to submit billing invoices by contractors should be noted. Contractors who receive funding of direct costs through the formal selection process, a breakout of the indirect cost into two (2) components: facilities and administration will be required unless the Commission approved indirect cost rate is utilized. Reimbursement of indirect costs is subject to the submission of a proposal, availability of fund, statutory and administrative restrictions, and the approval of the Commission.

3.4.3. **Contract Term**

Time is usually a critical element in every contract. The schedule of when work shall be started and completed should be included in the contract. If applicable, interim dates for the completion of specific portions of the contract should also be stated. Contracts should also have time-limited terms and scheduled performance reviews to assist the Commission determine whether or not a new selection process will be needed at the end of the contract. If applicable, a schedule of the contractor's stewardship for the funds awarded after the contract term has ended or the funds are exhausted should be included.

3.4.4. Terms and Conditions

Contract terms and conditions must be somewhat flexible to suit the needs of the Commission and the specific contract circumstances. It is the responsibility of the Executive Director to ensure that contract terms and conditions are appropriate to the type of contract being awarded.

Certificates of insurance should be received from the contractor or be verified as current and on file with the Commission prior to the beginning of any work, unless the executive director has approved a request for extension. The endorsements are to be signed by a person authorized by that insurer to bind coverage on its behalf. Contractors shall maintain insurance coverage that is appropriate to their business operations and the nature of the work.

The Commission has determined the following kinds and levels of insurance requirements for its standard contractual agreements.

- General Liability. Provider shall maintain and provide the Commission with proof of a commercial general liability insurance policy in the amount of one million dollars (\$1,000,000) per occurrence (\$300,000 if family child care provider) and one million dollars (\$1,000,000) aggregate (\$300,000 if family child care provider).
- Automobile. Where the services to be provided under this Agreement involve or require the use of any type of vehicle by the Provider in order to perform said services, the Provider shall also maintain and provide the Commission with proof of a comprehensive business or commercial automobile liability coverage including non-owned and hired automobile liability in the amount of one million dollars (\$1,000,000) or if family child care provider personal automobile insurance in the amount of \$100,000 per person, \$300,000 per accident, and \$100,000 property.
- Worker's Compensation. If required by California law, Provider shall also maintain worker's compensation insurance in accordance with California law, and employer's liability insurance with a limit of no less than one million dollars (\$1,000,000) per occurrence.
- Professional Liability. Not less than one million dollars (\$1,000,000) as appropriate to the service being rendered, including coverage for medical malpractice, error, and/or omission.

Said policies shall remain in force through the life of this Agreement and shall be payable on a "per occurrence" basis unless the Commission specifically consents to a "claims made" basis. Additionally, Commission shall be named as additional insured. Failure to provide and maintain the insurance required by this Agreement will constitute a material breach of the Agreement.

3.4.5. **Additional Elements of a Contract**

Non-Discrimination Statement; Inspection and Audit Requirements; Subcontractor and Assignment; Best Efforts; Renewal or Non-Renewal; Health and Safety Standards, Drug Free Workplace; Compliance with Law; and Warranty

3.5. Approval Procedures

The following is the internal procedures for Commission approved funding proposals that require contractual negotiation and execution.

- Executive Director reviews contracts for risk, accountability and performance outcomes.
- Legal Counsel reviews proposed contract(s), signs and returns to Commission staff.
- Commission staff obtains contractor signature(s) on contract(s)
- Commission staff obtains Executive Director and/or Commission Chair signature on contract (s)

The following is the internal procedures for final contracts that require Commission discussion and approval.

- Legal Counsel reviews proposed contract(s), signs and returns to Commission staff.
- Commission staff obtains contractor signature(s) on contract(s).
- Commission staff places contracts on agenda for Commission approval.

Section 215 - Establishing the Salaries and Benefits of Commission Employees

1. POLICY

Utilizing the County of Sutter compensation and benefit programs, the Commission shall establish the salaries and benefits of Commission employees.

2. PURPOSE

In accordance to parameters set in state law, the policies of the State Commission and in compliance with generally accepted accounting principles to ensure the credibility and reliability of information.

3. PROCEDURE

Positions and salaries for Commission employees are included in the County of Sutter Classification System - Basic Salary/Hourly Schedule. Benefits for Commission employees shall be selected from among the benefit packages offered to County of Sutter employees in similar classifications.

FINANCIAL POLICIES (300-399)

Section 300 - Advance Payments to Contractors

1. POLICY

The Commission recognizes that advanced funds may be needed for particular agencies or projects.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to advance funding requests.

3. PROCEDURE

3.1 Any provider seeking the release of funds prior to the commencement of work under the contract should make such a request within their proposal, specifying the reason(s) advance funds are needed. All requests for advance funding will be subject to the approval of the Commission, based on the nature of each project and the needs of the provider. A cash advance shall not exceed 50 percent of the maximum amount allowed under the contract.

3.2 Contractors who are issued an advance payment are expected to perform according to the approved scope of work.

3.3 Advance payments shall be reconciled with actual expenditures within twenty (20) days of the end of the Commission's fiscal year or the contractual reconciliation date approved by the Commission.

3.4 Unexpended advanced payments shall be returned to the Commission within thirty (30) days of the end of the Commission's fiscal year or the contractual reconciliation date.

Section 301 - Submission of Billing Invoices by Contractors

1. POLICY

Billing invoices must be submitted on a timely basis throughout the year and prior to July 30th of each year.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to billing invoices.

3. PROCEDURE

3.1 Contractors scheduled to submit billing invoices to the Commission on a monthly basis shall submit the invoices within fifteen (15) days of the end of the month being billed.

3.2 Contractors scheduled to submit billing invoices to the Commission on a quarterly basis shall submit the invoices within fifteen (15) days of the end of the quarter being billed.

3.3 Contractors shall submit all year-end invoices for any costs incurred during the period July 1st through June 30th as soon as possible following the end of the Commission's fiscal year.

3.4 All year-end invoices must be received no later than July 30th. Invoices for the prior fiscal year that are received after July 30th will be rejected and will not be paid.

3.5 Once Commission staff has accepted an invoice and a determination has been made the invoice is complete, payment to Contractor shall be made within thirty (30) days.

Section 302- Unspent Funds by Contractors

1. POLICY

It is the Commission's policy to approve contracts based on the scopes of work, proposed budget and contract term. Contractors requesting to rollover any unspent funds from the Commission approved budget to a subsequent approved or unapproved contract term must submit a request in writing to the Commission.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to unspent funds by contractors.

3. PROCEDURE

3.1 Contractors requesting to rollover any unspent funds from the Commission approved budget to a subsequent approved or unapproved contract term must submit a request in writing within twenty (20) days of the end of the contract period. The request to utilize unspent funds proposed by a contractor shall include:

- A narrative explaining the need to expend unspent funds
- A budget that combines the Commission approved funds with unspent funds from the prior year.

3.2 The Commission's Executive Director may approve requests to utilize unspent funds and execute contract amendments to add the funds, so long as:

- The planned use of the unspent funds is consistent with the contractual scope of work.
- The amount requested does not materially change the scope, size, capacity, or direction of the program.
- The amount requested is not more than 25% of the approved budget.
- The sequential contract term is Commission approved.

3.3 A decision by the Commission's Executive Director to permit a Contractor to utilize prior year's unspent funds must be reported to the Commission at its next regular meeting.

3.4 Requests to utilize unspent funds that total more than 25% of the approved budget or to utilize unspent funds in a sequential unapproved contract term may only be approved by the Commission.

Section 303 - Budget Amendments by Contractors

1. POLICY

It is the Commission's policy to approve contracts based on the scopes of work, proposed budget and contract term. Expenditures made by contractors are not to exceed 10% of any line item without a budget amendment being submitted and approved by the Commission.

2. PURPOSE

The purpose of this policy is to provide guidance to the Commission staff, Commissioners, and grantees related to budget revisions, when no additional funding is requested.

3. PROCEDURE

3.1 Contractors requesting budget amendments are to notify the Commission in advance of the proposed change by submitting a request in writing to the Commission. The request of a budget amendment proposed by a contractor shall include:

- A narrative explaining the need to increase or decrease a line item.

3.2 The Commission's Executive Director may approve contract budget amendments, so long as:

- The planned expenditures in the budget amendment are consistent with the contractual scope of work.
- The budget amendment does not materially change the scope, size, capacity, or direction of the program.
- The budget amendment does not increase the total value of the contract.
- The budget amendment does not increase or decrease a line item by more than \$1,000.

3.3 Contract budget amendments requests that increase or decrease a line item by more than \$1,000 may only be approved by the Commission.

Section 304 – Allowable Expenditures by Contractors

1. POLICY

Expenditures made by contractors shall comply with Federal, State, and local laws and policies; adhere to agreed-upon contractual terms; and demonstrate good stewardship of public resources.

2. PURPOSE

In accordance with Section 130100-130155 of the California Health and Safety Code; Article 7 (commencing with Section 54201) of Chapter 5 of Part 1 of Division 2 of Title 5 of the Government Code; Chapter 2 (commencing with Section 2000) of Part 1 of Division 2 of the Public Contract Code; Section 3410 of the Public Contracts Code; and Chapter 3.5 (commencing with Section 22150) of Part 3 of Division 2 of the Public Contract Code.

3. PROCEDURE

3.1 Expenditures shall be made for only those services, supplies, and materials that benefit the health and wellbeing of children 0 through 5 years of age. It is acknowledged that some services provided to other family members in families with children 0 through 5 will have a benefit to the child (mental health services, health enrollment assistance services, English language lessons, literacy, etc.)

3.2 Expenditures made by contractors shall comply with the scope of work and budget attached to the agreement between the Commission and the contracting agency. Budget categories may include, but are not limited to: salaries and benefits, services and supplies, and equipment/fixed assets.

3.3 Contractor requests for reimbursement shall be accompanied by appropriate documentation. Commission staff may request additional documentation to determine that an invoiced expenditure is consistent with these policies.

3.4 Equipment, materials, supplies, or property purchased for or financed from Commission funds having a useful life of three (3) years or greater or a value in excess of One Thousand Dollars (\$1,000.00) shall be defined as an inventory item. Prior written approval of the Executive Director, or his/her designee, is required for all purchases of inventory items.

3.5 All items purchased or financed with Commission funds not fully consumed during the execution of an agreement shall be the property of the Commission at the termination of an agreement unless the Commission, at its sole discretion, makes an alternative disposition.

3.6 The Commission and its contractors must be ever vigilant regarding their obligations and responsibilities to be good stewards of the public funds entrusted to them. Providing food and non-alcoholic beverage items at meetings and events is an especially sensitive subject and such items should be provided only in very limited and occasional circumstances. Alcoholic beverages cannot be purchased with public funds under any circumstances. Food or beverage items may be invoiced as an allowable expenditure when:

- An attendance sheet or list of meeting attendees accompanies the invoice, along with a meeting agenda and meeting minutes, if any.
- The meeting targets community members, the public, and/or employees of other agencies (education or training session, for example).
- The items purchased contain predominately healthy choices: fruits, vegetables, water, juices, unsweetened drinks, etc.
- The items are utilized as an inducement to increase meeting attendance.
- The items are related to an extended training session (a lunch meal as a part of an all-day training session, for example).
- The items are integral to the service being provided (nutrition education or obesity prevention, for example).
- Practicality, convenience, and efficiency dictate the need for such items (meetings of extended length or meetings held at sites where access to such items is not readily available, for example).
- Food and beverage purchases for regular and recurring program activities may be purchased only if listed in the contract scope of work and budget.
- Should the contractor submit food claims that are determined by Commission staff to be excessive or not demonstrating good stewardship of public resources, a written notification may be delivered to the contractor specifying which future food purchases will not be reimbursed to the contracting agency from Commission funds.

3.7 As a general rule, food and non-alcoholic beverage items should not be supplied for the exclusive use of contractor's staff. The Commission will accept such items on contractor invoices only when it can be demonstrated the items are associated with extended training or with a meeting over a meal period that could not reasonably be scheduled for another time. Attendance sheets, agendas, and meeting minutes (if any) shall be included as documentation of the need for such expenditures.

3.8 Contractor travel costs shall comply with the contracting agency's reasonable travel policies, providing the executive director has approved such policies. Contracting agencies without an adopted travel policy shall comply with Sutter County's Travel Policy. Nothing herein shall exempt the contractor from providing sufficient appropriate documentation to support travel expenditures. Should the contractor's travel policy permit travel reimbursements that are determined by Commission staff to be excessive or not demonstrating good stewardship of public resources, a written notification may be delivered to the contractor specifying which future costs or types of travel costs will not be reimbursed to the contracting agency from Commission funds.

3.9 Under no circumstances should stipends or gift cards be supplied to contractor's staff as an incentive or reward or compensation. To incentivize program participants or volunteers, the Commission prefers that contractors provide materials or supplies that are targeted to children 0 - 5 (books, educational materials, infant/toddler care supplies, learning games, etc.). The use of stipends or gift cards may be used as an incentive for program participants or volunteers only if specified in the contractor's scope of work and

budget.

Section 305 - Commission Budget

1. POLICY

Annually, the Commission shall adopt a budget prior to the start of a fiscal year. During the fiscal year, the Commission may amend the adopted budget.

2. PURPOSE

In accordance with Section 130140(d)(5) of the California Health and Safety Code.

3. PROCEDURE

3.1 Prior to the start of a fiscal year, the Commission shall adopt an annual budget containing sufficient detail to identify contracts, programs, and staff to be funded during the fiscal year.

3.2 At the time the budget is adopted, the Commission shall also adopt a long-range financial plan containing projections, assumptions, revenues, expenditures, and changes to fund balance for at least a three-year period.

3.3 During a fiscal year, the Commission may take an action to amend an annual budget if, in the discretion of the Commission, circumstances require that an amendment be made.

Section 306 - Expenditures Categories and Limitations

1. POLICY

Expenditures made by the Commission shall be assigned to one of three categories: administrative, program, or evaluation. Actual expenditures in each category shall be reported to the Commission at least quarterly. In any fiscal year, actual Commission administrative expenditures shall not exceed 20 percent of the total amount budgeted.

2. PURPOSE

In accordance with Section 130140(d)(5) of the California Health and Safety Code expenditures allocated to administrative, program, and evaluation categories shall be reported to the Commission (at least quarterly).

3. PROCEDURE

3.1 Establishing an Upper Limit on Administrative Costs:

Based on an analysis of its administrative spending needs and best practices in government finance, the Commission has established an upper limit on administrative costs as 20% of the Commission's annual operating budget. The Commission requires a periodic review of the validity of the adopted definition and percentage (based on changes in state law, regulation, county government requirements, and other relevant factors). The Commission shall maintain auditable records to ensure compliance with the administrative cost policy.

3.2 Monitoring and Reporting: All costs will fall into one of three major categories: administrative, programmatic or evaluation. The three categories are defined below:

- *Administrative Costs:* Costs incurred in support of the general management and administration of a county commission, for a common or joint purpose that benefits more than one cost objective (other than evaluation activities), and /or those costs not readily assignable to a specifically benefited cost objective.
- *Program Costs:* Costs incurred that are readily assignable to a program, grantee, contractor, or service provider (other than evaluation activities) and/or in the execution of direct service provision.
- *Evaluation Costs:* Costs incurred in the evaluation of funded programs based upon their accountability framework and data collection and evaluation for required reporting to state and local stakeholders.

At least quarterly, actual administrative expenditures shall be reported to the Commission and compared to the 20% limit.

At least annually, documentation of the results of the evaluation expenditures, in the form of a report of program outcomes, shall be delivered to the Commission. Measurements to evaluate the outcomes of funded programs shall include the use of applicable, reliable indicators (California Health & Safety Code section 130151(b)(7)).

The Commission may, at the time of authorizing an extraordinary administrative expenditure, exempt it from calculation of compliance with this limit. The rationale for exemption shall be included in the public record at the time the exemption is decided.

Commission staff will be responsible for establishing cost elements for each of the three categories, using the definitions included in this policy.

Commission staff will establish a methodology for tracking and reporting on the three cost categories. Commission staff shall use valid methodologies and tools for allocating costs. Valid methods may include time-studies, automated cost accounting systems, review of payroll records and cost finding.

Section 307 - Annual Audit of Financial Condition

1. POLICY

Annually, the Commission shall have a financial audit of its accounts and transactions conducted. The results of the audit shall be communicated to the public and to the State Commission and State Controller's Office.

2. PURPOSE

In accordance with California Health & Safety Code sections 130150 and 130151(b)(6), the Commission shall conduct an audit.

3. PROCEDURE

3.1 Following the close of the County's fiscal year (July – June), the Commission shall have an independent audit conducted to assess the appropriateness and completeness of its revenue and expenditure transactions for the fiscal year just ended. As permitted by law, the single audit can be performed by the Commission's external financial auditor, if contracted for, or by another third –party auditor.

3.2 Any annual audit conducted shall use audit guidelines issued by the State Controller's Office. (The most recent guidelines are entitled, "Standards and Procedures for Audits of Local Entities Administering the California Children and Families Act (First 5)".)

3.3 By law, the audit report is to be completed by October 15th of each year.

3.4 By November 1st of each year, the Commission is to conduct a public hearing, discuss any findings, adopt the audit report and submit a copy to the State Commission and State Controller's Office.

Section 308 - Fund Balance

1. POLICY

It is the policy of the Commission to comply with the generally accepted accounting principles and report their fund balance consistent with Statement 54 of the Governmental Accounting Standards Board (GASB). The fund balance includes funds committed for multi-year initiatives and programs. Proper reporting of the fund balance provides an opportunity for the Commission to report how they have committed funds over a period of years. The total fund balance represents the value of the funds available to the Commission.

2. PURPOSE

In accordance with California Health & Safety Code section 130151(b)(6), policies are needed to assess and communicate the financial condition of the Commission.

The assignment of fund balance will help ensure that there will be adequate financial resources to meet the Commission's financial obligations, communicate current and future funding investments, and ensure there is adequate working capital to protect the Commission against unforeseen circumstances and events such as revenue shortfalls and/or delays in the receipt of tax distributions.

3. PROCEDURE

Financial statements of the Commission may include up to five components of the fund balance. The Commission is not required to show amounts in all five components. The five possible components are defined below.

1) Nonspendable Fund Balance: This category includes elements of the fund balance that cannot be spent because of their form, or because they must be maintained intact. Examples would include:

- Assets that will never convert to cash, such as prepaid items and inventories of supplies;
- Assets that will not convert to cash soon enough to affect the current period, such as non-financial assets held for resale; or
- Resources that must be held intact pursuant to legal or contractual requirements, such as revolving loan fund capital or the principal of an endowment.

2) Restricted Fund Balance: This category includes resources that are subject to constraints that are externally enforceable legal restrictions. Examples would include:

- Funding from the State Commission or foundations that are legally restricted to specific uses. For example, funds advanced by the State Commission under specific agreements for services, or matching funds for specific initiatives would be reported as restricted funds.
- Funds legally restricted by county, state, or federal legislature, or a

government's charter or constitution.

- Amounts collected from non-spendable items, such as the long term portion of loan outstanding, if those amounts are also subject to legal constraints.

NOTE: Tobacco tax revenues are not automatically categorized as restricted fund balance because the purposes for which tobacco tax allocations may legally be used are no narrower than the purpose for which the commissions were created in Proposition 10 enabling legislation.

- 3) Committed Fund Balance: Two criteria determine the committed fund balance:
- The use of funds is constrained by limits imposed by action of the Commission—the governmental unit’s highest level of decision making.
 - Removal or modification of the use of funds can be accomplished only by action of the Commission. (Both the establishment of the commitment and/or modification or removal must occur prior to the end of the fiscal year being reported upon).
 - Resources in this category would include:
 - Resources committed for a future initiative when Commission action is required to remove or modify the commitment.
 - Resources that have been committed by the Commission for specific agreements that have not yet been executed when Commission action is also required to remove this commitment.
 - Resources committed as the local match for a State Commission initiative.
 - Funding that has been designated for previously executed legally enforceable contracts but not yet spent, including multi-year contracts, when the Commission has approved the contract before the end of the year and when cancellation of such contracts would require Commission approval.
 - This category also includes the amount committed for a minimum fund balance whereby the budgeted fund balance for Sutter County Children & Families Commission shall not be less than half of the Commission’s budgeted revenues for the current fiscal year.
- 4) Assigned Fund Balance: The assigned portion of the fund balance reflects the Commission’s intended use of resources, which can be established either by the Commission or the Executive Director. The “assigned” component is similar to the “committed” component, with two essential differences, shown in the following table:

Key Differences Between Committed and Assigned Fund Balance	Committed	Assigned
A decision to use funds for a specific purpose requires action of the Commission	Yes	No
Formal action of Commission is necessary to impose, remove or modify a constraint and formal action has taken place before end of the reporting period	Yes	No

The purpose of the assignment must be narrower than the fund itself. For this reason, tobacco tax revenues would not automatically be placed in the “committed” component. Resources to be included in this category include:

- Appropriation of all or a portion of existing fund balance sufficient to eliminate a projected deficit in the subsequent year’s budget.
- Funding that has been designated for previously executed legally enforceable contracts but not yet spent, including multi-year contracts, when cancellation of such contracts would not require Commission approval.
- Resources assigned to a specific program or project or organization for which the commission has approved a plan or budget.

- Resources approved by a commission for a long range financial plan where formal approval is not required to modify amounts.
- 5) Unassigned Fund Balance: Resources in the fund balance that cannot be classified into any of the other categories are included here.

Section 309 – Credit Card Policy

1. POLICY

The Commission will participate in the CAL-Card Purchasing Card Program as part of its purchasing process. This program was established through a State of California Master Service Agreement with U.S. Bank International Merchant Purchase Authorization Card Government Services to provide Visa® bankcard services. The program is intended to streamline payment procedures.

The CAL-Card program allows authorized cardholders to purchase necessary Commission items or services using the CAL-Card.

2. PURPOSE

The purpose of this policy is to provide an orderly and comprehensive method for implementation and management of the Sutter County Children & Families Commission CAL-Care Program.

3. PROCEDURE

3.1 Program Administrator: The Executive Director is the Sutter County Children & Families Commission Program Administrator and is responsible for the overall management and regulation of the Cal-Card Program, and will certify that the Cal-Card will be used for official Commission business.

The Commission Chair will sign the California Master Services Agreement when periodic renewal agreements are required.

3.2 Authorized Use:

All purchases must comply with the Sutter County Children & Families Commission Purchasing and Payables Policy. Examples of authorized use include, but are not limited to:

- Travel costs for approved travel to conferences, meetings, etc. in accordance with the Sutter County Travel and Business Expense Policy;
- Supplies required for Commission operations; and
- Other budget approved purchases required for Commission operations (i.e. conference registration, behavioral modification incentives, etc.)

The Cal-Card may specifically not be used for:

- Personal expenses; and
- Cash advances.

3.3 Recordkeeping:

The Executive Director shall maintain all itemized receipts for credit card purchases for purposes of supporting documentation and the reconciliation process.

At the end of each billing cycle (30-day), a statement will be received from CAL-Card by the Commission office. The Executive Director will review the transactions on the statement to attest to the accuracy and attach appropriate supporting documentation (i.e. itemized invoice/receipt) containing the purchase description, and in accordance with the Commission's accounts payable process the payment will be prepared, signed by Commission Chair and paid by the Sutter County Auditor-Controller.

In accordance with the Commission's accounts payable process, the following internal control procedures will be followed:

- Executive Director will review and approve

3.4 General Procedures:

Disputed Claims:

If there are questioned items that appear on the statement, the Executive Director shall follow CAL-Card's established procedures.

Lost or Stolen Credit Card:

In the event that the CAL-Card has been lost or stolen, the Executive Director must immediately report this to:

- CAL-Card Customer Service (800) 344-5696, and
- The Commission Chair.

Fraud Activity:

U.S Bank's Fraud Prevention Unit continually monitors accounts in an effort to prevent and stop fraud activity. In the event that fraud activity is suspected, the cardholder may be contacted by U.S. Bank's Fraud Prevention Unit to inform them of the suspected activity.

MONITORING AND EVALUATION POLICIES (400-499)

Section 400 - Monitoring and Evaluation of Contractors

1. POLICY

All Contractors shall be monitored and evaluated on a regular basis throughout their contract period.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to monitoring and evaluation. To ensure that limited resources are being used in the most efficient manner, the Commission has adopted a risk-based approach to monitoring and reporting. The essence of the risk-based approach is that some providers present less risk than others and thus warrant less scrutiny by the Commission.

3. PROCEDURE

3.1 Monitoring means any planned, ongoing, or periodic activity that measures and ensures Contractor compliance with the terms, conditions, and requirements of a contract.

3.2 Evaluation is the systematic acquisition and analysis of information to provide useful feedback to a funded program and to support decision making about continuing or altering program operations. It is an on-going process in which questions are selected, framed, and answered in order to assess the value and effectiveness of programs, as well as to further strengthen and build the capacity of programs.

3.3 Technical assistance means to support and assist Contractors/partners in the development of those changes, alterations, adjustments and amendments that will increase the likelihood of the Contractor successfully and effectively performing under the terms, conditions, and requirements of their contract.

3.4 Activities that will be used to monitor and evaluate Contractor performance may include:

- Periodic progress reports: Quarterly, as required in their contractual scope of work, contractors will submit activity and outcome data in a format prescribed by the Commission.
- Review of Contractor's audit reports: Examination of an independent audit commissioned by the Contractor.
- Invoice reviews: Ensures the costs being charged are within contract parameters.
- Onsite reviews and observations: This may include some or all of the following: interviews with Contractor staff, interviews with clients about services received, reviews of key systems and service documentation, reviews of client case records, reviews of personnel records to ensure staff have appropriate credentials, reviews of on-site fiscal records, observations of operations, and reviews of scopes of work and scorecards.

- Contact with Contractor: Continuous dialogue with the Contractor in the form of letters, meetings, and phone conversations.
- Surveys: Concerning contract service delivery and quality.

3.5 The contractor is responsible for developing and operating a data collection system that provides timely and accurate information on activities, progress towards milestones, and outcomes. When requested, Commission staff may assist the contractor in the development of a data collection and reporting system to align with the Commission's system.

Section 401 - Site Visits

1. POLICY

Site visits will be performed at least one per fiscal year in order to adhere to state and federal laws. Commission staff will review information regarding program activities, content, effectiveness, and fiscal processes and will document site visits in writing.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to site visits.

3. PROCEDURE

3.1 Commission partners will complete a site visit progress report and submit it to Commission staff prior to the visit. Staff will review the program operation documentation provided by the contractor and compare it to the contractual scope of work and the scorecard. Documentation to monitor and evaluate Contractor performance may include:

- Announcements about training sessions, workshops, seminars
- Sign in sheets
- Surveys
- Reports and data
- Summaries of clients
- served Quarterly scorecard reports

3.2 Staff will issue a report following each site visit detailing first hand observations and what was discussed with the Contractor. The report, which will include an assessment of Contractor's efforts to comply with the contract's scope of work and scorecard, will be filed in the Contractor's ledger that is kept in the Commission office.

3.3 Following a site visit, staff may develop a corrective action plan with time specific and measurable goals or activities for the Contractor to perform in order to correct operational or contractual deficiencies. Any such plan developed will focus on activities and services provided by the Contractor and changes needed in order for the Contractor to meet planned contractual obligations.

3.4 Following each site visit, staff will send a letter to the Contractor detailing what was observed and discussed. The letter will contain any action plan or corrective plan developed and will contain a list of the subjects or items to be reviewed or discussed during the next site visit.

Section 402 - Corrective Actions by Contractors

1. POLICY

Contractors significantly deviating from planned performance shall be required to develop and implement corrective actions.

2. PURPOSE

The purpose of this policy is to provide guidance for the Commission staff, Commissioners, and grantees related to performance standards.

3. PROCEDURE

3.1 Corrective action means action taken by the Contractor that corrects identified deficiencies or produces recommended improvements. Corrective action is suggested when identified deficiencies are serious (for example, a failure to ensure client health or safety) or where less formal means have failed. Examples of issues requiring corrective action include:

- Significant audit or monitoring findings.
- Inferior quality of services.
- Failure to perform all or part of the contract.
- Late performance.
- Late submission of reports or invoices on a recurring basis.
- Inadequate, unclear, or excessive billing.
- Failure to adequately meet contractual obligations.

3.2 When an item or issue is noted that needs correction, Commission staff is to:

- Notify the Contractor both verbally and in writing that a problem has been identified.
- Clearly identify the problem verbally and in writing using dates, number of occurrences, or other data that quantifies the problem. For example, "Paragraph 4 of your Contract states that you must submit a report by the 5th of each month. Your reports for May, June, and July were all submitted over 5 weeks after the due date, and we have not yet received your August report."
- Ask the Contractor to advise how the problem will be corrected.
- Notify the Contractor of expectations for correcting the problem. If appropriate, ask the Contractor to propose a corrective action plan, including dates when corrective action will be completed. Document conversations with the Contractor by way of a memo to the contract file.

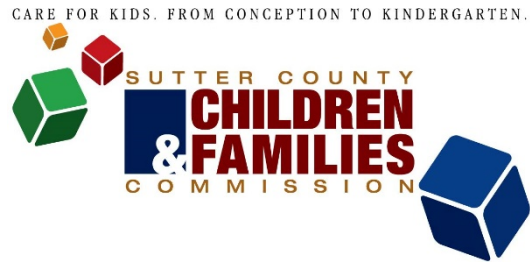
3.3 While a Contractor is working to correct a problem, Commission staff will offer advice, assistance, and support to encourage a successful resolution of the problem. Commission staff will track all corrective action to completion and will consult with the Contractor when requested.

3.4 When the corrective action resolves the issue, Commission staff shall notify the Contractor in writing that resolution has been achieved. A copy of such a letter shall be included in the contract file.

3.5 If a deadline is missed or corrective action is otherwise not completed, Commission staff will notify the Contractor in writing that a deadline has been missed and ask the Contractor when the action will be completed. The Contractor will be advised that failure to comply with the corrective action plan could lead to termination of the contract. Staff will notify the Commission of the failure of the Contractor to perform in accordance with the agreement and/or any plan of correction. The matter may be scheduled for formal Commission action.

APPENDIX

APPENDIX A



Sutter County Children & Families Commission SPONSORSHIP REQUEST GUIDELINES

Sutter County Children & Families Commission recognizes that sharing information with the community is an essential element in promoting the importance of early childhood development, facilitating community involvement, and increasing community awareness and understanding the needs of children ages 0 through 5 and their families.

The Commission identifies funds to be used for public information and education, and support of professional educational events as part of the annual budget process. Public and private organizations, faith-based, non-profit and government organizations may submit a Sponsorship Request Application.

Commission Policy **Support of Community Events and Professional Education Symposia** states that "Sutter County Children & Families Commission may provide funding to community partners for materials or sponsorships to support community awareness and education consistent with Commission goals and the Strategic Plan. The Commission may also support professional education events directly related to Commission goals and the Strategic Plan."

Sutter County Children & Families Commission SPONSORSHIP REQUEST CRITERIA

Sponsorship requests will be evaluated against the criteria listed below:

- The purpose of the activity or event must be consistent with the Commission's goals and Strategic Plan.
- The request must be for educational/informational materials or activities pertaining to children ages 0 through 5 and their families.
- Sponsorship will strengthen community capacity to meet the needs of children ages 0 through 5 and their families.
- The requested funds must be available.
- The requested funds must be used to supplement, not supplant, other funding.
- The Sponsorship Request must not exceed \$5,000.
- Organizations shall not receive more than two Sponsorship Awards per fiscal year.
- If a Sponsorship Request is approved, the requestor agrees to include Sutter County Children & Families Commission logo recognition in all event materials, marketing collateral, and media opportunities. Items must be approved by Sutter County Children & Families Commission prior to distribution.
- For events providing opportunities for vendor/agency display booths, the organizer will provide Sutter County Children & Families Commission complimentary space.
- When an event requires an entry fee, registration fee, or equivalent, the request includes a fair and appropriate number of complimentary passes.
- When feasible, an event or community gathering of 100 or more individuals for two or more hours, a Breastfeeding Friendly (BFF) space should be made available to event participants. The BFF space should be

clean, include comfortable sitting and have access to electricity. It is encouraged that the BFF space is advertised in all event materials prior to and during the event, when applicable

SPONSORSHIP REQUEST APPLICATION PROCESS

A Sponsorship Request Application must be completed. Sponsorship requests are reviewed on an on-going basis. There is no calendar deadline to apply. Applicants should allow no less than two months (8 weeks) between application submission and the sponsored event to provide time for review, approval and planning for Sutter County Children & Families Commission participation. Priority will be given in order of applications received.

All Sponsorship Requests shall:

- Be evaluated against Sutter County Children & Families Commission sponsorship criteria and considered in relationship to Sutter County Children & Families Commission existing commitments.
- Be submitted on the Sutter County Children & Families Commission Sponsorship Request Application.
- Meet each of the Sponsorship Request Criteria listed above.

Make sure to include the following documents:

- Sponsorship Application

APPENDIX B



**COMMUNITY EVENT SPONSORSHIP PROGRAM (2018-2019)
APPLICATION FORM**

APPLICANT INFORMATION

Applicant Agency:			
Contact Person:	Name:	Phone:	
	Email:		
	Mailing Address:		
Type of Organization:	<input type="checkbox"/> Public Agency	<input type="checkbox"/> Private Agency	
	<input type="checkbox"/> Faith-Based Organization	<input type="checkbox"/> Community-Based Organization	

EVENT INFORMATION

Name of Event:			Date of Event:		
Location of Event:			Is this event a fundraiser?	Yes No	
Expected # of Attendees:	Last year's/previous year's attendance:			Is this event smoke-free?	Yes No
				Will you have a BFF space?	Yes No
Event Website:					

SPONSORSHIP DETAILS

Sponsorship request amount? _____

Has Sutter County Children & Families Commission sponsored the event previously? Yes No

If so, please list years and amount of sponsorship:

<u>Year</u>	<u>Amount</u>

What will the requested funds be used for? What are your planned activities? (Use space below or own attachment)

Why is this project needed in Sutter County?

If applicable, provide one copy of any printed materials used for this event in the past, such as flyers, ads, posters, brochures, etc.

How will the success of the event be measured?

Provide the name and address of sponsorship payee, if different from above.

RECOGNITION

What type of paid and/or unpaid advertising will be used to promote the event?

Signage	How many?	
	Placed where?	

Collateral material	What type?	
	How many?	

Other advertisement (tv, email blasts, etc.)?

Other event sponsors?

How will Sutter County Children & Families Commission services be promoted at the event?

If sponsorship request is approved, requestor agrees to provide Sutter County Children & Families Commission logo recognition on all marketing collateral and media opportunities. Yes No

Authorized Signature: _____ **Date:** _____

Printed Name: _____ **Date:** _____

Please submit Application Form via email, fax or mail to:
Sutter County Children & Families Commission
1531-A Butte House Road
Yuba City, CA 95993
mblake@co.sutter.ca.us
FAX (530) 822-7508

APPENDIX C



Vision: All children in Sutter County will have optimal health, be nurtured and prepared to succeed.

SUTTER COUNTY POLICY PLATFORM

Sutter County Children & Families Commission will advocate for the strong start all Sutter County children deserve, with an emphasis on children prenatal through age 5 and their families, to optimize early childhood development.

STRONG AND ENGAGED FAMILIES
Increase knowledge and awareness of parents and caregivers understanding of early childhood development.
Increase opportunities and access to social connections and support for parents.
Increase supports for breastfeeding and baby-friendly policies in all settings.
Increase access to comprehensive and coordinated support systems.
CHILD HEALTH
Support and promote developmental screenings, assessment, referral and treatment.
Increase access to comprehensive approaches (such as Bright Futures/Help Me Grow) to enhance communication and care coordination to ensure children are connected to services as quickly as possible.
EARLY LEARNING
Support access to quality and developmentally appropriate early care and educational programs for children 0-5 and their families.
Support strengthening the qualifications, compensation and stability of the ECE workforce.
SYSTEM SUSTAINABILITY
Work with local and state partners to explore and advance opportunities to increase funding streams dedicated to early childhood health and development.

APPENDIX D



CONFIDENTIALLY FORM

As an employee, contractor/grantee, employee of grantee, or sub-contractor of the Sutter County Children & Families Commission, you may have access to confidential information and records. Misuse of such information may adversely affect individual civil rights, public safety, and the efforts and goals of the Commission. Such misuse violates the law.

Such laws include, but are not limited to:

- Government Code Sections 6200 and 6201, which prescribe the felony penalties for misuse of confidential records and information.
- Welfare and Institutions Code Section 10850, which prescribes penalties for the misuse of confidential information.
- The Health Insurance Portability and Accountability Act (HIPAA) of 1996, which includes requirements to standardize privacy, security, and client rights regarding the use and sharing of protected health information.
- All Commission employees, contractors/grantees, and subcontractors of grantees are responsible to advise themselves of all laws, rules and regulations regarding confidentiality, including, but not limited to State and or Federal.

Any Commission employee, who is responsible for such misuse is subject to immediate dismissal. Any contractor/grantee, employee of the grantee, or sub-contractor of the grantee who is responsible for such misuse is subject to and may be the cause of the immediate termination of the contract/grant. Violations of the above laws may also result in criminal and/or civil action.

I have read the above and understand the Policy regarding the misuse of confidential information and records.

Signature: _____

Date: _____

APPENDIX E



Electronic Device Loan Policy Agreement

Borrowers Information:

Last Name: _____ First Name: _____

Childcare Business Name/Agency: _____

Phone #: _____ Email: _____

Device and accessories borrowed: (check each item)

- iPad & case
- USB cable/charger
- Carry Bag
- Camera & Bag
- Projector & Accessories
- Other Device: _____

Dates:

Date Out	Date Due	Date Returned

Condition upon return (as inspected by Commission staff):

- Good** (item is in good condition)
- Poor** (item is in poor condition, non-functional, or missing)

Comments:

I, the undersigned, do hereby agree to the terms and conditions of the Sutter County Children & Families Commission Electronic Device Loan Policy. I understand that by signing this document I acknowledge reading the Policy and will be held personally responsible for any damage, loss, or destruction of the equipment while it is in my possession, as well as for any fines due to returning the equipment after the due date and time printed above. Use of Commission's electronic device for the transmission, dissemination, and/or duplication of information must comply with federal and state laws. Commission expects all users to comply with such laws, including but not limited to those related to copyright, computer hacking, and child pornography.

CHECKOUT SIGNATURES	RETURN SIGNATURES
Staff	Staff
Borrower	Borrower

APPENDIX F

CARE FOR KIDS. FROM CONCEPTION TO KINDERGARTEN.



CONFLICT OF INTEREST AND CONFIDENTIALITY STATEMENT FOR RFP REVIEW PANEL MEMBERS

Members of the Sutter County Children & Families Commission Request for Proposal (RFP) Review Panels must have no conflict of interest in reviewing and recommending on proposals for funding. All matters discussed among panel members within the context of reviewing proposals, including scores and strengths/weaknesses, are confidential and shall not be shared by panel members with persons outside of review panel.

A conflict of interest exists if a person stands to benefit personally, professionally, or financially from the outcomes of a particular decision. Examples of a conflict of interest include, but are not limited to, the following relationships with a program or proposer under consideration.

- A. Ownership of financial interest;
B. Director, trustee, or officer;
C. Employee;
D. Relative, spouse, domestic partner; or
E. Provider of goods or services, material or other substantial interest which might inhibit objective decisions.

I _____ certify that I have no conflict of interest as (Print name)

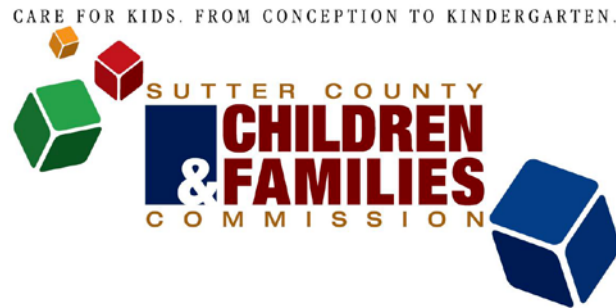
defined above or as self-identified. I further certify that I will not share confidential information regarding the proposals that are reviewed, including proposal scores, with persons outside of the review process.

Signature _____ Date: _____

Address _____ City, State _____ Zip _____
Phone: _____ Fax: _____ E-mail: _____

Employer _____

APPENDIX G



Sutter County Children & Families Commission APPEAL PROCESS

Applicants whose proposals are not funded are eligible to appeal the decision if the appeal is based solely on the procedural aspects of the review process.

LEVEL ONE APPEAL

1. Applicants whose proposals are not funded can file a Notice of Appeal with the Executive Director.
2. Appeals must be filed within 10 calendar days following notification of grant awards.
3. The appeal process will be used solely to contest a procedural aspect of the review process, e.g. consistent application of rules and standards. Examples include, but are not limited to:
 - i. The applicant alleges misconduct or impropriety by Commission officials or source selection committee members, e.g. reviewers had an alleged conflict of interest.
 - ii. A competing applicant had knowledge of the RFA process, which was unavailable to other applicants.
 - iii. An applicant is disqualified because he/she fails to submit paperwork by the deadline. Through the appeal process, they would have the opportunity to demonstrate that, in fact, they did submit the required information in a timely manner based on Commission deadlines.
 - iv. An applicant is not recommended for funding due to a low point score from the review process. Through the appeal process, they would have the opportunity to prove that the point totals were, in fact, miscalculated and they received a point score that puts them into the "funding range."
 - v. An applicant is not recommended for funding because the Commission's reviewers mis-applied the criteria or standards in the RFP. An example of this might be a situation where an RFP calls for a particular qualification, license, or corporate status from a potential grantee and an applicant is not recommended for funding because the reviewer mistakenly believes that the applicant does not meet that requirement. Through the appeal process they would have the opportunity to demonstrate they did meet all of the requirements and had submitted any required documentation within required deadlines.
 - vi. Procedures were not followed which affected the applicant's proposal score.
 - vii. Evaluation and selection criteria specified in the RFP were not applied to the applicant's proposal.

4. The burden of proof for demonstrating grounds for an appeal lies with the applicant. The applicant is required “to demonstrate by substantial evidence that the Review Committee’s decision was in error.”
5. Appeals will not be considered under the following circumstances:
 - i. Applicant files an appeal based solely on the merit of the proposal
 - ii. Applicant fails to file notice of appeal within the required time line
6. If the Executive Director believes a decision should be reconsidered, the Executive Director will make a recommendation directly to the Commission.

LEVEL TWO APPEAL

1. If the Executive Director denies the appeal, and the applicant does not agree with the decision, the applicant can file an appeal directly with the Commission.
2. Appeals to the Commission (level two appeals) must be made within 10 calendar days from the receipt of the Executive Director’s decision.

Level Two Appeal – Hearing Procedures

1. Appeal hearings are conducted in open session during a regular meeting of the Sutter County Children & Families Commission.
2. At the onset of the appeal hearing, the applicant will be given an opportunity to address the Commission and request the right for the appeal to be heard. The applicant will be asked to come to the podium to make their presentation. Once the Commission determines that there are sufficient grounds for appeal, the hearing will proceed. Written and electronic minutes of the meeting will be taken to assure an accurate record of the proceedings.
3. The Commission Chair will preside over the hearing. The parties will be cautioned that this is an appeal process and no new information may be considered. However, new information may be presented to support an argument that such information was unknown or unavailable during the Level One appeal.
4. The Chairperson of the Commission will state that the hearing will proceed as follows:
 - i. The Executive Director will have up to 5 minutes to provide a brief overview of the actions leading to the appeal.
 - ii. The Applicant will have up to 10 minutes to present the appeal.
 - iii. The Executive Director will have up to 10 minutes to respond.
 - iv. The Applicant will have up to 5 minutes for concluding remarks.
5. The Executive Director makes a factual presentation summarizing the process leading up to the appeal. (5 minutes)
6. The applicant makes the initial opening statement. A written statement may be submitted prior to the opening statement. (10 minutes)
7. The Executive Director may make an oral response. (10 minutes)
8. The applicant may then make a final statement. (5 minutes)
9. During or after the statements the members of the Commission may question either the Applicant or the Executive Director and request clarification of certain facts.
10. Upon completion of the statements and clarifications by the Commission, the Commission will deliberate in open session and review the statements of the Applicant and Executive Director.
11. Following the deliberation, the Commission will do one of the following:

- i. Uphold the Appeal
 - ii. Deny the Appeal
 - iii. Remand the application back to the Executive Director for further consideration
12. If the Commission upholds the appeal, they may elect to take any of the following actions:
- i. Request the Review Committee to re-review their decision
 - ii. Conduct interviews with each of the applicants
 - iii. Re-open the Request for Application process
13. The decision of the Commission is final. The applicant will receive written notification of the Commission's decision within 15 days.

APPENDIX H

CARE FOR KIDS. FROM CONCEPTION TO KINDERGARTEN.



INTERNAL CONTROL ACCOUNTS PAYABLE PROCESS

Internal control process shall be established and followed to ensure accountability for the stewardship of public resources and to provide reliable financial information on a timely basis.

- STEP 1 Executive Director will approve all purchase requisitions over \$5,000.00
- STEP 2 Commission Staff will obtain mail and date stamp received.
- STEP 3 Executive Director will open mail, review and approve invoices/bills for payment.
- STEP 4 Commission Staff will prepare claims for the approved invoices/bills for payment.
- STEP 5 Commission Chair will sign approved claims for submission to Auditor-Controller office.
- STEP 6 Sutter County Auditor-Controller will process payments for Sutter County Children & Families Commission claims.
- STEP 7 Commission Staff and Executive Director will review the Commission account regularly for accuracy and timely payment.
- STEP 8 Executive Director and Commission will review expenditure quarterly in regularly scheduled Commission meeting.