



Grantee Contract Manual

FY2016/17

The information in this contract manual is intended to facilitate contract management for First 5 grantee organizations. Information in this manual is in support of grantee contracts and does not change, modify or supersede the official contract.

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SECTION I CONTRACT MANAGEMENT

1. Timeline of Due Dates

First 5 Grantee Executive Director/Leadership Meetings	July 14, 2016 (tentative—may be rescheduled) October 13, 2016 January 12, 2017 April 13, 2017
Aggregate Data	15 th of the month following month reporting
Invoices	15 th of the month following month reporting
Quarterly Performance Measures	30 th of the month following quarter reporting
Final Invoice/Accrual	July 7, 2017

2. Expenditure Reimbursement Guidelines

First 5 Solano contract terms require grantees to submit invoices by the 15th of the month following the reimbursement period to ensure timely payment of claims. The final invoice or accrual amount for a Fiscal Year is due by July 7. A grantee must invoice for the actual/incurred costs.

Expenditure reimbursement forms (invoices) are submitted through the First 5 Solano data management system, Persimmony, unless otherwise specified by a First 5 Solano Contract Manager.

Properly completed and submitted invoices will be approved and forwarded to the County of Solano Auditor’s Office within ten (10) business days of receipt. If an invoice is incomplete or requires explanation, grantee will be notified by their contract manager within this time period.

PLEASE NOTE: All requests for reimbursement are processed by the Auditor’s Office. Once a claim for payment is approved, it may take up to three (3) weeks to receive payment. The Auditor’s Office mails all checks. Checks are not available for pick-up.

If this timeline negatively impacts your organization’s cash flow, please refer to your contract for language on the availability on advanced funds.

3. Budget Modification Requests

No expenses outside of the approved line item budget will be paid. Budget modifications may be requested per the terms of the contract and budget modifications must be approved in advance of any budget changes.

All budget modification requests must be submitted on the Budget Modification Request Form incorporated into the contract. Grantee must submit an original signed copy of the Budget Modification Request Form to First 5 Solano.

Budget modification requests may be submitted at any time, however, every effort should be made to submit budget modification requests by April 15 of the Fiscal Year. Budget modifications after this date will only be considered if there is a change in circumstance.

The grantee will receive written notification of the results and explanation, or requests for additional documentation within ten (10) business days of submittal. Approved budget modifications are only for the year requested and do not affect future years' budgets.

4. Data Collection

All monthly data must be entered into Persimmony by the 15th of the month following the month reported (e.g. data collected in April must be entered by May 15th). All quarterly data must be entered into Persimmony by the 30th of the month following the quarter reported (e.g. data collected for July-September must be entered by October 30th).

Late or missing data may result in incomplete performance reports to the Commission and the community and may cause payment of invoices to be withheld.

A. Aggregate Data

Aggregate data is to be submitted monthly by the 15th of the following month for all unduplicated clients served. "Unduplicated clients" refers to the total number of children, parents, or other family members who receive services from your program for the *first time* that Fiscal Year. A client may not be considered an unduplicated client if they have received services from your program at any time in previous months during the Fiscal Year.

The following aggregate data must be collected for unduplicated clients each month:

- 1) Total number of unduplicated clients by type:
 - a. Children
 - b. Parents/guardians/primary caregivers
 - c. Others
- 2) Total number of unduplicated clients by demographic:

- a. Ethnicity
- b. Language spoken
- 3) Total number of children by age:
 - a. 0-3 years
 - b. 3-5 years
- 4) Total number of children with special needs

B. Service Contacts

Grantees must also report the number of “service contacts” all clients receive each month. A service contact refers to the number of times new and existing clients have contact with program staff. This report identifies the frequency/intensity of services received.

C. Quarterly Data

Performance measures are the outcomes/results of services and must be reported quarterly. These measures provide an ongoing assessment of grantee progress toward achieving the program’s goals/stated outcomes. Performance measures are specific to each grantee’s program or result area and help keep the program, partners and Commission focused on the key program goals. They are also used to improve services and expand or replicate successful services.

Supporting data about the program/services are also reported quarterly in a narrative form and/or by submitting supplemental information in Persimmony.

5. Compliance Reporting

First 5 Solano provides regular data and performance reports of the services provided by grantees to the Commission, First 5 California, and internal and external stakeholders, including the public.

Reporting may include but is not limited to:

1. Contract Performance: Did the grantee meet the performance measures as outlined in their contract, including both number served in each program area as well as measured improvement? Did grantees meet system level/qualitative measures?
2. Data Report Quality: Was the data received in a timely manner? Is the data accurate? Did the data require resubmission and how many times was the data resubmitted?
3. Claims for Payment: Was the claim received on time? Was the claim accurate and reflect the correct and current budget? Was the claim entered through Persimmony? Did the claim require resubmittal/correction?
4. Attendance at Trainings and Meetings: Did grantee leadership attend the quarterly leadership meetings?

5. Use of Logo and Attribution: Was the First 5 Solano logo used correctly in all publications? Did all events or programs include attribution of grant funds from First 5 Solano in printed and other program materials?

6. Site Visits

First 5 Solano Contract Managers will visit each grantee organization a minimum of once every Fiscal Year for each contract. Additional site visits may be scheduled at any time. These site visits allow grantees to share program successes and challenges to service delivery, as well as verify program related documentation, such as timesheets, back up documentation for invoices, and updated policies and procedures.

Contract Managers will contact grantees to schedule site visits and provide grantees with a Site Visit Form to complete prior to the scheduled visit.

7. Communication

Grantees are expected to communicate any information to their First 5 Contract Manager that may affect their program. This information could include, but is not limited to: changes in staffing, new addresses, client emergencies, property damage, and any other information that may affect funded programs.

8. First 5 Solano Logo and Guidelines for Use

The First 5 Solano Children and Families Commission is funded by taxpayer dollars. Therefore, grantee shall appropriately acknowledge the grant from the First 5 Solano Children and Families Commission.

Appropriate acknowledgement is defined as follows:

- A. Includes the First 5 Solano logo;
- B. Includes the statement, "Made possible by a grant from First 5 Solano Children and Families Commission";
- C. The statement and logo must be included in all public materials that mention the funded grant and its programs or services, including (but not limited to) websites, e-mails, news releases, media advisories, brochures, newsletters, flyers, advertisements, public service announcements, posters, CD-ROMs and any other public communication items.

Any deviation from the above must be approved by First 5 Solano before distribution of public outreach materials

9. Additional Contract Requirements

Grantees are required to follow additional requirements as outlined in their contract:

- a. Child Abuse Reporting Requirements: Grantees are required to read and follow the child abuse reporting requirements outlined by Penal Code Section 11166.
- b. Adult Abuse Reporting Requirements: Grantees are required to read and follow the adult abuse reporting requirements outlined by Welfare and Institutions Code Section 15630. To report known or suspected elder abuse in Solano County call: (707) 784-8259 during regular office hours or (800) 850-0012 after hours.
- c. Drug-Free Workplace Certification: Grantees are required to read and follow the drug-free workplace requirements outlined by Government Code Section 8355.
- d. HIPAA Business Associate Certification: Grantees are required to read and follow the Solano County HIPAA Business Associate Certification requirements.

SECTION II SYSTEMS LEVEL PARTICIPATION

1. Help Me Grow Outreach/Referrals

First 5 Solano funds the Help Me Grow Solano meta-collaborative and referral system to coordinate service providers of young children and connect at risk children to appropriate services via a call center and centralized referral system.

As a First 5 Solano grantee, required participation in Help Me Grow Solano activities include:

- a. Participate in a minimum of two Help Me Grow Solano outreach activities each Fiscal Year (e.g. attending outreach fairs, presenting to community groups, etc.)
- b. Provide Help Me Grow Solano with up to date information for the services provided by your agency
- c. Provide referrals to Help Me Grow Solano when needed services are not provided by your agency
- d. Receive referrals from Help Me Grow Solano.

2. Systems Change Activities

Grantee Leadership shall take an active role participating in early childhood system change discussions and contribute to identification of areas in either their own agency or within the early childhood system overall that can be modified to meet one or more of the Systems Change result areas of the Solano Commission's strategic plan. As a First 5 Solano contractor, the expectations are outlined in the Early Childhood Systems Change Activities Grant Agreement effective July 1, 2016.

SECTION III FIRST 5 SOLANO POLICIES

It is the responsibility of each grantee to ensure that program staff is aware of all First 5 Solano Policies. Grantees may access electronic versions of all policies on the First 5 Solano website.

1. Contracting and Procurement Policy

The First 5 Solano Children and Families Commission, as part of Solano County, hereby affirms the use of the Solano County Purchasing and Contracting Policies. Any updates to the Solano County Purchasing and Contracting Policies document will be strictly adhered to by the First 5 Solano Commission. The Systems and Policy Committee will notify the First 5 Solano Commission of updates at the next regularly scheduled meeting following an update.

In addition to the above, all grants and contracts awarded will be consistent with the First 5 Solano Children and Families Commission Strategic Plan.

2. Compliance in Contracts Policy

- I. The purposes of defining a procedure for detecting and correcting non-compliance in contracts with grantees of the Commission are:
 - A. To most effectively assist grantees to achieve success in their endeavors to improve the lives of young children and their families through the contracted services and activities they carry out with Commission funding;
 - B. To provide an opportunity to resolve issues as they arise during the contract period through a process that leads to the successful completion of the grant in question; and
 - C. To protect the Commission, Solano County, and the grantee from avoidable delays, liabilities, and failure to achieve the agreed-upon outcomes of the grant.

- II. Identification and Documentation:
 - A. First 5 Solano grant contracts will contain a clearly defined scope of work and a timeline that identifies specific performance goals and measures (measurable service outcomes expected to be reached by a specified time) to be submitted, along with regular progress reports.
 - B. Unless otherwise stated in the contract, service targets shall be reported monthly and performance measures reported quarterly in the manner prescribed by the contract.

- C. Grantees are required to promptly notify the Commission in writing when service targets and/or performance measure goals are not achieved. First 5 Solano contract monitoring and program support staff are also responsible for identifying instances in which service targets and/or performance goals are not achieved. This may be done through review of data, review of progress reports, Evaluator/data collection vendor input and site visits.
- D. In addition, any information received by Commission staff that suggests that a problem might be occurring that could adversely affect the capacity of the grantee to meet the requirements of the contract will be investigated.

III. Process for Correcting Non-Compliance:

- A. When specified expected service targets and/or performance goals are not achieved, the following steps will be taken:
 - 1) First 5 staff will contact the grantee in question and assess whether corrective action is necessary by meeting with the grantee, identifying and discussing the cause of the problem, and determining if a compliance action plan and/or minor contract modification is needed.
 - 2) If staff determines a compliance action plan is needed, the written compliance action plan will be drafted and signed by the grantee, the Executive Director and Program Committee Chair. A copy of the agreement will be included in the contract folder.
 - 3) A monthly report that briefly describes action taken will be submitted to the Program Committee and forwarded to the full Commission as recommended.

NOTE: A compliance action plan, in and of itself, does not indicate the need for action by the full Commission and does not reflect negatively on the grantee if the problem is resolved through this process.

- B. Any contract in which the process described above does not resolve the issues raised, or in which a clear pattern of non-compliance occurs, or in which a significant contract revision (i.e., new contractors, 15% deviation from budget, etc.) is the proposed solution, or in which a significant liability to the Commission or the County is identified, the following steps will be taken:
 - 1) The Executive Director will promptly notify the Commission Chairperson and, in the case of potential liability, County Counsel. Staff will notify other individuals as directed by the Chairperson. Staff will document the issues, potential liabilities, and possible course of action including alternatives in a report to the Commission Chair, who shall direct distribution to the appropriate

Committee(s) and/or the full Commission for further review and action.

- 2) Staff will follow Solano County contracting rules and policies and the terms of the contract in question if further action is needed.
- 3) Staff will maintain summary records for contract compliance issues, including copies of reports and other pertinent documents.

3. **Non-Discrimination Policy**

Services funded by the Solano County Children and Families Commission will be available to children and families residing in Solano County without regard to national origin, religion, race, ethnicity, sexual orientation or citizenship status.

4. **Service Restrictions by Age Policy**

The First 5 Solano Children and Families Commission directs its services to children and their families with the focus on children who have not yet reached their fifth birthday, but with the understanding that some services will also be provided to pre-school children in their fifth year.

5. **Tobacco/Nicotine Education, Prevention, and Investment Policy**

This policy covers the smoking or oral use of any tobacco or nicotine product including cigarettes, cigars, pipes, all forms of smokeless tobacco and any other smoking devices that use tobacco such as hookahs, or simulate the use of tobacco such as electronic cigarettes/nicotine devices or clove cigarettes.

The following constitutes the adopted Tobacco Policy that funded First 5 Solano programs/projects will follow. Funded Programs/Projects will:

- A. Provide a tobacco and nicotine-free working environment for employees, visitors and clients and keep a safe and healthy environment for families and children.
- B. Provide and/or arrange training and information to staff on the dangers of tobacco and nicotine products, smoking cessation, and the dangers of second-hand smoke (as needed).
- C. Refuse tobacco and nicotine funding.
- D. Divest themselves of tobacco and nicotine product investments.
- E. Distribute and/or make available tobacco and nicotine cessation-related materials for participants in Commission funded programs.
- F. A complete listing of tobacco and nicotine cessation resources can be found at www.tobaccofreesolano.org which is included as a link on the First 5 website.

SECTION IV PERSIMMONY

Grantees are required to use the Persimmony data management system to perform all data entry and invoicing activities for First 5 Solano funded programs and services. Grantees may also use the Persimmony data management system to track clients and/or manage cases of non-First 5 Solano funded programs and services.

1. User Accounts

A. New Users

New user accounts must be approved by a supervisor. Users accessing First 5 Solano funded program information must also receive approval from the Contract Manager. Users will be granted access to the Persimmony data management system upon completion and submittal of the First 5 Solano Persimmony System User and Confidentiality Agreement (Appendix A). Submit to First 5 Solano at: cfcsolano@solanocounty.com

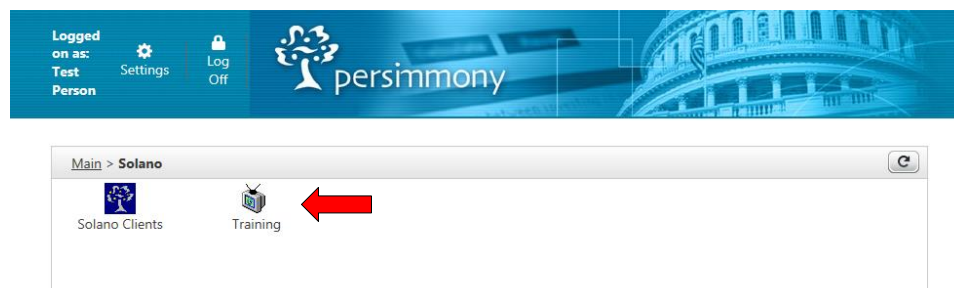
B. User Profile Modifications

User profile modifications may require a supervisor's and/or Contract Manager's approval depending on the nature of the request and will be granted on an individual basis. Password resets do not require approval.

Contact First 5 Solano at: (707) 784-1332 or cfcsolano@solanocounty.com for profile modifications.

2. Training and Technical Assistance

Training and technical assistance for Persimmony is available 24/7 through the online training modules. These modules are found by clicking the training icon on the main screen.



Additional Persimmony training and technical assistance is provided by contacting First 5 Solano at (707) 784-1332 or cfcsolano@solanocounty.com. Specific contract questions, such as questions regarding performance measures and budget, should be directed to your Contract Manager.

SECTION V ONGOING FUNDING OPPORTUNITIES

First 5 Solano provides ongoing funding opportunities for certain activities detailed below. More information, including applications, policies, legal agreements, and deadlines for each funding opportunity can be found at: www.first5solano.org in the *Funding Opportunities* section. All funding opportunities are subject to availability of funds as well as the policies and legal agreements as set forth per each opportunity.

1. Business Challenge Grant

The purpose of the Business Challenge Grant Fund is to assist Solano County non-profits with fundraising with local businesses by matching donations provided by the business for services supporting parents, caregivers, and families with children ages birth to five. Matching funds are available from \$1,000 to \$10,000 and must be pre-approved prior to seeking business funding.

2. Community Engagement & April Children's Month

The purpose of the Community Engagement & April Children's Month Fund is to support community activities and events designed to inform and increase awareness among parents/primary caregivers about issues pertaining to children birth to five such as monthly children's observances, childhood development topics, community resources, and other relevant topics. Community Engagement funds are available in amounts up to \$300 per event/activity. Approval for funds must occur prior to the date of the event.

3. Co-Sponsorship of Training and Conferences

The purpose of the Co-Sponsorship of Training and Conferences Fund is to contribute to improving the capacity of providers and organizations in Solano County to serve expectant parents, children birth to five years old and their families. Co-Sponsorship of Training and Conferences funds are available in amounts up to \$3,000 per training or conference. Co-Sponsorship applications are reviewed by the Systems and Policy Committee for approval. Applications must be received approximately 3 weeks prior to the meeting date in order to be included for consideration at the next meeting. Please see the First 5 Solano website for meeting dates and application deadlines. Approval for funds must occur prior to the date of the event.

4. Organizational Support/Grant Writing

The purpose of the Organizational Support/Grant Writing Fund is to assist community organizations with funds to hire grant writers to bring additional funding into Solano County for services or providers supporting parents, caregivers, and families with children ages birth to five. Organizational Support/Grant Writing funds are available in the amount of up to \$5,000 per funding opportunity.

CHILDREN ARE OUR BOTTOM LINE

First 5 Solano Persimmony System User and Confidentiality Agreement

Instructions: To request a Persimmony Logon ID and access to the Persimmony System, please complete this form and then scan/email or mail to the First 5 Solano Persimmony System Administrator at cfcsolano@solanocounty.com or 601 Texas St, Fairfield, CA 94533.

Acknowledgement of Responsibility:

Confidential information is valuable and sensitive and is protected by our California Constitution and other laws. The intent of these laws is to assure that confidential information will remain confidential - that is, that it will be used only as necessary to accomplish First 5 Solano's programmatic goals.

I understand and acknowledge that as part of my job assignment I may be accessing the First 5 Solano Persimmony System ("Persimmony") using a password that I create. In that event:

1. It is my legal and ethical responsibility to preserve and protect the privacy, confidentiality and security of all records retained by First 5 Solano including the information in Persimmony. The information I may access in Persimmony will be handled in compliance with applicable privacy and security regulations and contractual agreements.
2. I agree to access, use, disclose or re-disclose confidential information only in the performance of my duties, and when required by or permitted by law. When disclosing or re-disclosing confidential information, I will disclose only the minimum information necessary, and only to persons who have the right to receive that information. Signed authorizations may be required in some cases.
3. I will maintain a secure work environment to ensure that the confidentiality of information from Persimmony is maintained. I agree to log-off, lock or otherwise password protect any computer I am using to access Persimmony when I am finished or leave my workstation. If confidential information is downloaded from Persimmony, the information will be filed in a secure place when I am not using the information and if printed, will be shredded upon discard.
4. I agree not to share my Persimmony Login information (including User ID and/or password) with anyone and that any access to Persimmony made using my Login is my responsibility. If I believe someone else has used my Login, I will immediately report the use to my supervisor or manager and together to the First 5 Solano Persimmony Administrator, and then request my Persimmony password be reset. I understand that my access to Persimmony is subject to audit in accordance with federal statutes and County policies.
5. I will not use or gain access to Personally Identifiable Information (PII) or Protected Health Information (PHI) or any other confidential information of any family members, caregivers, business relations, personal acquaintances or other individuals except as required for the performance of my assigned duties.
6. I will immediately report to my supervisors and together to the First 5 Solano Persimmony Administrator activities by any individual or entity that I suspect may compromise the privacy or security of confidential information from Persimmony. Reports made in good faith about suspect activities will be held in confidence to the extent permitted by law, including the name of the individual reporting the activities.

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- 7. I understand that that any unauthorized willful or malicious release of any personal or confidential information may subject me to legal and/or disciplinary action up to and including immediate termination of my or my employer's affiliation with First 5 Solano and/or contract, volunteer, student or employment status.
- 8. I understand that my obligations under this Agreement will continue after termination of my relationship with First 5 Solano and my use of Persimmony. I understand that my privileges hereunder are subject to periodic review, revision and if appropriate, renewal.

I hereby acknowledge that I have read and understand the foregoing information and that my signature below signifies my agreement to comply with the above terms.

Signature: _____ Date: _____

Printed Name: _____ Title: _____

Email: _____ Phone Number: _____

Please complete to inform the type of access being requested:

Grantee Organization: _____

Contracts Needed (list contract #s or names as listed in Persimmony): _____

Type of Access Needed:

- Fiscal
- Data Collection (Aggregate and Performance Measures)
- Client Level Data
- Reports

Supervisor Signature: _____ Date: _____

Supervisor Name: _____ Title: _____

FIRST 5 SOLANO USE ONLY

Contract Manager Approval: _____	Date: _____
Request Completed By: _____	Date: _____



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CONTACT INFORMATION

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