

I. Policies for Grantees

1. Confidentiality

Purpose/ Background:

Proposition 10 mandates County Commissions craft a strategic plan that mobilizes the community's resources to ensure that all children birth to age five enter school in good health ready and able to learn. Each County Commission must assure that Prop. 10 funds are well spent and managed and that all program planning is directly tied to measurable outcomes or results. Butte County Children and 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 Grantee responsibility in maintaining the privacy of personal information.

In order to track and report outcomes for children and families receiving Prop 10 funded-services, counties may be required to collect individually identifiable information that will minimize duplication and track all common outcome data collected across a system. In certain well-defined circumstances, Butte County's Commission, and its grantees, may be required to 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 Butte County Children and Families Commission to be accountable and to collect outcomes-related data, the Commission must also ensure that essential data collected will not invade privacy, breach confidentiality, or cause harm.

To this end, Butte County Children and Families Commission adopts this policy on confidentiality.

Policy:

It is the policy of the Butte County Children and Families Commission to ensure that the information received in the Commission office remains confidential and in compliance with all Federal, State and local laws, rules and regulations including, without limitation, any nondiscrimination laws.

In like manner, grantees shall comply with confidentiality laws protecting the rights of the Commission and any and all clients as outlined in the Terms and Conditions of each contract.

To that end, the following Confidentiality language shall be made a part of every Commission contract under its Terms and Conditions:

	<p><i>Confidentiality and Compliance with Laws:</i> Contractor shall comply with confidentially laws protecting the rights of the Commission/Contractor clients. Contractor shall comply with all Federal, State, and local laws, rules and regulations including, without limitation, any nondiscrimination laws.</p> <p><u>Purpose</u></p> <p>The purpose of this policy is to inform Commission employees, grantees, and all employers and sub-contractors of the grantees, that all information related to clients is to remain confidential. A breach of this policy may result in the termination of the First 5/Public Health employee, and termination of the contractual agreement between the Commission and the grantee.</p> <p><u>Application</u></p> <p>This policy applies to all First 5/Public Health employees, all grantees, grantee employees, and grantee sub-contractors, and the subsequent functions, information and data collected in performance of the duties as defined under the grant.</p>
Procedure:	All new Commissioners, First 5/Public Health employees, and grantees will be given a copy of the Policy and Procedure and Attachment (Confidentiality Procedure Attachment) at the time of hire or appointment. The attachment will be put in their Commission or Contract file.
Effective Date:	February 26, 2021

2. Equity and Diversity

Purpose/ Background:

The Butte County Children and Families Commission recognizes that there are significant gaps and disparities in the provision of services for children and their families and as observed in educational, health and other outcomes, the Commission states commitment and leadership towards taking proactive steps to ensure that Butte County children and their families from diverse populations, including children with disabilities and other special needs, are an integral part of the planning and implementation of Proposition 10.

In accordance with Prop 10 State Commission, diversity has been defined to be inclusive of children prenatally through five years of age, regardless of immigration status, who:

1. Are from different ethnic, linguistic, cultural, socio-economic, religious, geographical and/or other historically or currently under-served communities; or
2. Have disabilities and other special needs.

It is in concert with the State Commission's overriding emphasis that Butte County fulfill its mission to adopt policies and practices that equitably provide Butte County's children (prenatal through 5) from diverse backgrounds and abilities with accessible, family-friendly, culturally competent, quality early childhood services and programs designed to help them reach their full potential and prepare them for positive educational and life experience. The principles herein adopted will serve as guidelines to ensure that the programs and services established and supported by Prop 10 funds are both culturally and linguistically competent and inclusive in service children with disabilities and other special needs.

Policy:

Butte County Children and Families Commission adopts the following four principles respecting equity and diversity to benefit the children and families served through local programs funded by Prop 10.

1. Inclusive Governance and Participation – We the Commissioners of Butte County recognize that children develop within the context of their families and communities, and as such, it is essential that Prop 10 programs secure and obtain meaningful participation and input of the families and other caregivers of children from diverse backgrounds and with diverse abilities throughout all program development and implementation phases.

When referring to families, the Commission utilizes the California Standards for Family Strengthening and Support definition: "At least one adult and one child who are related biologically, emotionally, or legally. Families may

consist of one parent, two parents, grandparents, foster parents, legal guardians, or from a need for mutual support. Ultimately, however, “family” is self-defined.”

2. Access to Services – To assure that children from diverse backgrounds and with diverse abilities have access to high quality and culturally competent early care and education/development opportunities as a critical means for achieving quality, Prop 10 funded programs should set measurable goals and objectives for increasing access and achieving equity.
3. Legislative and Regulatory Mandates – Agencies must adhere to all legislative, regulatory and accreditation mandates pertinent to the provision of services to children from diverse backgrounds and with diverse abilities by embracing the spirit of the law, informing parents of their rights and responsibilities as well as those of their children, and be held accountable for their compliance with key laws and other related mandates.
 - A. Title VI of the Civil Rights Act of 1964: requires linguistic access via qualified interpreters and translated materials at no cost to the individual;
 - B. Americans with Disabilities Act 1990 (ADA): prohibits discrimination on the basis of disability and promotes equal access, building modifications, hiring practices for persons with disabilities;
 - C. Language Access Laws i.e., Dymally-Alatorre Bilingual Services Act (CA); imposes direct obligations state/local governmental agencies to provide appropriate translation services for languages spoken by 5% or more of population served;
 - D. Individuals with Disabilities Education ACT (IDEA) establishes special education and coordinated, family-centered service delivery systems for children with disabilities from birth through age 5 through several programs e.g., California’s Early Start Program, California Department of Education’s Preschool Special Education Program; and
 - E. Executive Order 13166: issued on August 11, 2000 to promote meaningful access to Limited English Proficient (LEP) individuals to federally assisted and federally conducted programs and activities.
4. Results-based Accountability – All Prop 10 programs funded through the Butte County Children and Families Commission will have well defined and meaningful outcomes that benefit children from diverse backgrounds and

	<p>diverse abilities. Staff will conduct assessments that include assets, challenges, and gaps in communities and systems by regular assessment of its inclusive governance process and provide updates on the extent of the family involvement and engagement throughout all phases of program development.</p>
Effective Date:	February 26, 2021

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3. Food and Beverage Policy

Purpose/ Background:	The Board of Supervisors authorized advisory committees for First 5 Butte County Children and Families Commission pursuant to Section 130145 of the California Health and Safety Code. The purpose of this policy is to establish a policy to guide food and beverage purchases with Commission funding.
Policy:	For the purpose of increasing public (children and parents) participation at funded program services and events, healthy food and beverages in standard serving sizes may be offered. Food and beverages must be budgeted. As an ongoing cost savings measure and to keep First 5 Butte County Contractor practices closer to existing Commission practice, we are asking our contractors to make every effort to limit food and beverage purchases. Monitoring these expenditures is a way for contractors to assure that sufficient funds are available for essential services.
Procedure:	<p>Food and beverages should only be provided to children and parents when the provision is critical and integral to program operations, as described below:</p> <ul style="list-style-type: none">• During program services and trainings when it is essential to the content of the service or training;• When it is clear they will not have time to provide their own meals before the start of the training or program (example: less than one hour between normal work hours including travel time, and the start of the training);• When the training extends for more than 2 hours and will extend beyond the normal meal time (example: training occurring from 10:30 a.m. - 2:00 p.m.) <p>In general, food purchased with F5BC funds should:</p> <ul style="list-style-type: none">• Provide variety, nutritional benefits and choice.• Have moderate or reduced levels of fat, saturated fat, cholesterol, sodium or sugar. High levels of dietary fiber are preferred. <p>Food should not be provided to staff, subcontractors, or other service delivery partners. Although Commission Staff will not be required to approve food expenditures, it is expected that Contractors will manage their programs with the above guidelines in mind.</p> <p>Beverages served during First 5 Butte County funded meetings, programs, activities, events, and celebrations should meet the following guidelines:</p> <ul style="list-style-type: none">• Water will always be provided free of charge. Whenever possible, water will be served in pitchers rather than plastic bottles to reduce environmental impact.• Flavored or unflavored carbonated water with no sweeteners may be served.• Sugar sweetened beverages, 100% fruit juice, or diet drinks will not be served.

- Whole fruit slices may be considered in place of juice.
- Coffee and tea may be served to adults.

All collaborators, contractors and grantees using First 5 funding will be required to follow our Food and Beverage Policy for all events and activities where First 5 funding is utilized.

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4. Tobacco-Free Environment¹

Purpose/ Background:	<p>First 5 Butte County is funded by Proposition 10, the California Children and Families Act, which taxes tobacco products. Discouraging tobacco use among parents, pregnant women, and those living with young children is a key objective of the Act.</p> <p>Tobacco products prohibited include any product containing tobacco or nicotine, including, but not limited to, cigarettes, cigars, miniature cigars, smokeless tobacco, snuff, chew, clove cigarettes, betel, electronic cigarettes, electronic hookahs, and other vapor-emitting devices, with or without nicotine content, that mimic the use of tobacco products.</p> <p>“Smoking” includes carrying a lighted cigar, cigarette, pipe, or any other lighted smoking equipment. “Vaping” includes carrying a lighted Electronic Nicotine Delivery Device (ENDD) or e-cigarette.</p> <p>This policy does not prohibit the use or possession of prescription products and other cessation aids that have been approved by the U.S. Department of Health and Human Services, Food and Drug Administration, such as the nicotine patch or gum.</p>
Policy:	<p>All First 5 Butte County Contractors shall agree to the following:</p> <ul style="list-style-type: none">A. Contractor agrees to maintain a work environment free of all tobacco products, including the outside areas on the contractor’s property within 20 feet of exits, entrances, windows, and air intakes of contractor’s buildings.B. Contractor agrees to comply with applicable federal, state, county, and local tobacco ordinances and codes, including AB -13 and the State of California Labor Code Section 6404.5 (California Work Place Smoking Restrictions).C. Contractor agrees not to accept any funds from a tobacco company, its subsidiaries, or parent company, including in-kind donations and event sponsorships, nor any funds from agencies that are sponsored by or receive donations from a tobacco company, its subsidiaries, or parent company.D. Contractor agrees to have a Tobacco Free Environment policy and submit a signed copy of it to the Commission. (<i>Tobacco-Free Environment Sample Policy</i> follows as Attachment A)E. Contractor agrees to have tobacco education and cessation materials visibly available and accessible to staff and clients participating in agency activities.
Effective Date:	February 26, 2021

¹ Professional services contractors who do not interface with children and families are exempt from this policy.

5. Contractor Site Visits

Purpose/ Background:	The Board of Supervisors authorized policies and procedures for First 5 Butte County Children and Families Commission pursuant to Section 130151 of the California Health and Safety Code. The purpose of this policy is to provide guidance to contractors for site visits.
Policy:	Site visits will be performed at least twice per year. Commission staff will review information regarding program activities, content, effectiveness, and fiscal processes.
Procedures:	<p>Site Visit Procedures are as follows:</p> <ol style="list-style-type: none">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. Documentation to monitor and evaluate Contractor performance may include:<ul style="list-style-type: none">• Announcements about training sessions, workshops, seminars• Sign in sheets• Surveys• Reports and data• Summaries of clients served2. Staff will maintain a report following each site visit including observations and discussion. Site visit reports and backup of communications with the Contractor may be included in an electronic database, which will allow all staff to review the progress of the Contractor's activities.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.
Effective Date:	February 26, 2021

6. Corrective Action

Purpose/ Background:	<p>The Board of Supervisors authorized policies and procedures for First 5 Butte County Children and Families Commission pursuant to Section 130151 of the California Health and Safety Code. The purpose of this policy is to provide contractors guidance in corrective actions.</p> <p>As stewards of public funds, the Commission is obligated to ensure compliance with the terms and conditions of contracts and grant agreements, specifically the scope of work and the budget. These are the promised services, programs or products to be delivered at the agreed upon price.</p>
Policy:	<p>Contractors significantly deviating from planned performance shall be required to develop and implement corrective actions.</p>
Procedures:	<p>Corrective Action Procedures are as follows:</p> <ol style="list-style-type: none">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 or where less formal means have failed. Examples of issues requiring corrective action include:<ul style="list-style-type: none">• Significant audit or monitoring findings• Inferior quality of services• Failure to perform all or part of the contract or scope of work• Late performance• Late submission of reports or invoices on a recurring basis• Inadequate, unclear, or excessive billing• Failure to adequately meet contractual obligations2. When an item or issue is noted that needs correction, Commission staff is to:<ul style="list-style-type: none">• 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.• 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. 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. Commission staff will keep the SPEC committee informed of progress on the corrective action. If necessary, the SPEC committee may convene to discuss a range of follow-up steps up to and including scheduling the matter for consideration at a Commission meeting.
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 in the contract file.
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.

Effective Date: February 26, 2021

7. Contract Payments

Purpose/ Background:	The Board of Supervisors authorized policies and procedures for First 5 Butte County Children and Families Commission pursuant to Section 130151 of the California Health and Safety Code. The purpose of this policy is to enable the Commission to distribute grant funding in a timely and effective manner.
Policy:	<p>Contractors shall invoice monthly or quarterly. Contractors shall submit supporting documentation with invoices, including but not limited to financial reports, receipts for material purchases, rental equipment, subcontractor work and employee travel. Final fiscal year invoices are due July 15th.</p> <p>Grantees with contracts nearing completion must submit final invoices within 45 days of the contract end date. Final payments and reconciliations shall be completed within 60 days of completion of the contract term.</p> <p>Indirect costs may not exceed 15% of an awardee's total operating budget. No single dollar of an awardee's contract may be counted twice when calculating the total amount of indirect cost allowed, irrespective of subcontractor arrangements. Indirect costs are shared costs that benefit or support multiple services administered by the awardee, and cannot be readily identified with a specific project (e.g. legal, accounting, human resources, procurement, maintenance, technology, etc.). These costs should be apportioned by a systematic and rational allocation methodology, which should be documented and made available upon request.</p> <p>Grantees may not charge indirect expense on funds awarded through the Commission's discretionary funds process, which supports programs, activities and professional development opportunities in amounts of up to \$5,000.</p>
Effective Date:	February 26, 2021

8. Budget Revision

Purpose/ Background:	The Board of Supervisors authorized policies and procedures for First 5 Butte County Children and Families Commission pursuant to Section 130151 of the California Health and Safety Code. The purpose of this policy is to provide guidance to Commission staff, Commissioners, and grantees related to contract budget revision requests, when no additional funding is requested.
Policy:	<p>The Commission shall require approval by the Director of any budget line item that varies more than fifteen percent from the approved budget. Line item budget revisions shall not increase the total budget amount. Increases to total annual budgets require full Commission approval and contract revisions.</p> <p>The Commission expects grantees to expend funds as approved in the original contract, and deviations from the submitted budget are generally not supported by the Commission.</p>
Procedure:	<p>To request a budget revision greater than fifteen percent for any line item in an approved budget, grantees must:</p> <ol style="list-style-type: none">1. Prepare and submit a Budget Revision Request Form, provided to all grantees as an attachment to the contract, specifying the line items and amounts requested to be changed along with a line by line narrative description of the changes requested and reasons for the request. Grantees may submit a Budget Revision Request by March 15 of each year. Under special circumstances, grantees may submit an additional request in June before the end of the fiscal year.2. The Budget Revision Request Form shall be reviewed by Commission staff and presented to the Director for approval. A decision to approve or deny the Budget Revision Request shall be rendered by the Director within 10 business days after submittal of the Request.3. If approved, Commission staff shall update the contract budget to reflect the approved changes and send the updated budget along with a copy of the approved Budget Revision Request Form to the contractor.4. If denied, Commission staff shall notify the contractor of the Director's decision and the reasons for the decision.5. A grantee may contact the Director to request that a Budget Revision Request that has been denied be reviewed by the Administration Committee. Upon receiving such a request, the Director shall schedule the Committee's review of the Request on the agenda of the next regularly scheduled Committee Meeting.6. The grantee requesting the Budget Revision to be reviewed by the Administration Committee must be present at the Committee meeting where their request will be reviewed.

	7. The Committee’s decision to approve or deny a Budget Revision Request shall be final.
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