



Program & Grant Awards (PGA) Committee Meeting
Friday, September 17, 2021
9:00 a.m. – 11:00 a.m.

IN-PERSON

Madera Family Resource Center
525 E. Yosemite Ave.

AGENDA

REASONABLE ACCOMMODATIONS FOR ANY INDIVIDUAL WITH A DISABILITY: Pursuant to the Rehabilitation Act of 1973 and the Americans with Disability Act of 1990, any meeting or function of the First 5 Madera County – Program and Grant Awards Committee - may request assistance, by contacting First 5 Madera County, 525 E. Yosemite Ave. Madera, CA 93638, telephone 559-661-5155.

1.0 ACTION	OPENING REMARKS 1.2 Call to Order 1.2 Roll Call	Deborah Martinez, Chair
2.0 ACTION	CONSENT AGENDA 2.1 Adoption of PGA Committee Agenda 2.2 Review and approve the August 20, 2021 Meeting Minutes	Deborah Martinez, Chair
3.0	PUBLIC COMMENT This time is offered for the public wishing to address the Commission on matters NOT listed on the agenda. Commission members may listen but not discuss matters not on the agenda.	Deborah Martinez, Chair
4.0 INFORMATION	GRANTS MANAGEMENT POLICY REVIEW PROCESS The Committee will review proposed updates to the Grants Management Policies presented during the August PGA meeting. Additionally, the Committee will begin its initial review of the remaining policies not included previously.	Xochitl Villaseñor, Staff
5.0 INFORMATION	2022-2023 AND 2023-024 STRATEGIC INVESTMENTS The Committee will review the recommended strategic investment goals and objectives and procurement timeline.	Monica Ramirez, ED
6.0 INFORMATION	STAFF UPDATE Leap Frog Learning Supports Progress	Xochitl Villaseñor, Staff
7.0	ANNOUNCEMENTS	Deborah Martinez, Chair
8.0	NEXT MEETING October 15, 2021	Deborah Martinez, Chair
9.0	ADJOURNMENT	Deborah Martinez, Chair

First 5 distributes monthly Agendas electronically. Please forward your email address to Xochitl Villaseñor at xvillasenor@first5madera.org to be added to the list.



**Program & Grant Awards (PGA) Committee Meeting
Friday, August 20, 2021**

Meeting Conducted Virtually
<https://us02web.zoom.us/j/85023958940>
Meeting ID: 850 2395 8940
1-669-900-6833, 85023958940# US (San Jose)

MINUTES

Present:	Deborah Martinez, Chair Nina Zarucchi-Mize Karen V. Wynn, Ph.D	Department of Social Services Community Representative – City of Chowchilla Community Representative – Eastern Madera County
Absent:	None	
Staff:	Monica Ramirez Xochitl Villaseñor Patricia Vega	Executive Director Program Manager Administrative Officer
Public:	None	

1.0 CALL TO ORDER

Deborah Martinez, PGA Chair, called the meeting to order at 9:12 am.

2.0 ADOPTION OF COMMITTEE AGENDA

Agenda for the August 20, 2021 meeting was submitted.

A motion to approve the agenda as presented was made. The motion was approved by consensus.

3.0 APPROVAL OF THE MAY 21, 2021 COMMITTEE MINUTES

Minutes for the May 21, 2021 meeting were submitted and reviewed.

A motion to approve the minutes as presented was made. The motion was approved by consensus.

4.0 PUBLIC COMMENT

No public comments.

5.0 GRANTS MANAGEMENT POLICY REVIEW PROCESS

M.Ramirez introduced the item by reviewing a PowerPoint presentation. The presentation offered the rationale behind staff's proposed changes, and shared definitions of policies vs procedures. M.Ramirez explained how some policies would shift among the following sources: Funded Programs Handbook (newly created), Financial Management Guide (newly created) and Contracting and Procurement Policies and Procedures Manual.

N.Zarucchi-Mize inquired if the policies presented are new or if they are being created using a template from F5CA. M.Ramirez clarified that these are not new, and that they are based on templates. Currently, the commission has independent policies that include procedures. Staff is revising the current Policy Handbook to only house policies while simultaneously creating a subset of guides/manuals that expand these policies by including procedures specific to each

policy. In doing this, new guides have been created i.e., Funded Programs Handbook and Financial Management Guide.

D.Martinez suggested reflecting the path of the policy changes by highlighting where it currently exists and where it will be moving to. It was also suggested to remove any language regarding movement into the Funded Programs Handbook since adding policies to the FPH is a secondary path.

K.Wynn inquired when the committee would review budget amendments, carry-over and unspent funds policies. M.Ramirez stated these would be discussed during the September PGA Meeting.

Independent Audit Requirement

K.Wynn recommended requesting an affidavit signed by the auditor asserting there are no findings rather than requesting a full audit to be submitted. Both D.Martinez and M.Ramirez shared that this is a current policy followed by a majority of organizations and underlined the importance of following this guideline as to avoid the perception of being negligent by not requesting proof of an organization's solvency before granting funds to that organization.

Year-End Audit Requirement

D.Martinez clarified that GMP No. 2 would be deleted in its entirety and replaced with the new language. This new language would move to the Financial Management Guide and included in the Funded Programs Handbook. K.Wynn asked if F5MC would pay for an independent audit. M.Ramirez clarified that F5MC would not pay for the independent out but instead request a full set of financials. D.Martinez recommended adding the audit exempt language to the new revision. The language needs to include the audit exempt threshold.

Discussion continued regarding the best format to present the proposed changes. It was agreed to remove references to the Funded Programs Handbook. It was recommended that staff present the original policies in their entirety with strikethroughs, adding the new language after each original policy and then identifying the new location of the policies. It was agreed that including a Table of Contents for each policy being changed would be sufficient in identifying the guide/manual where the policies will be governed under.

Site Visits/Non-Compliance Policies

X.Villaseñor reviewed the policies currently found in the GMP. X.Villaseñor then reviewed the revised language which better reflects the actual processes in place. No recommended revisions were made.

Supplantation & Smoke-Free Policies

X.Villaseñor reviewed the original and revised documents. No recommended revisions were made.

N.Zarucchi-Mize stated she would want to see the revised formatting of all the policies before they are presented to the full commission. K.Wynn inquired when these guides would be presented to the Commission. X.Villaseñor responded that the policies could be reviewed as early as October; however, that would depend on how soon the PGA reviews and finalizes everything. D.Martinez shared that the PGA should take its time in reviewing the documents to become comfortable with the format and provide feedback to staff. She expressed that the review process does not have to be completed by October if the documents are not ready.

6.0 2022-2024 STRATEGIC INVESTMENTS

M.Ramirez reviewed a PowerPoint presentation created for this agenda item. M.Ramirez then reviewed the Strategic Plan Progress table reminding the Committee that the commission utilizes four vehicles used to meet the strategic plan goals and objectives: FRCs, Community-Initiation Investments, Commission-Initiated Investments, and Systems Work. The table illustrates the strategic plan focus areas, goals and objectives and what progress has been achieved to-date. The table also highlights areas for investment opportunities.

On a separate PowerPoint slide, M.Ramirez proposed focusing on the following objectives for investment:

1. Family Involvement
 - a. Goal 2; Objective 2.1
 - b. Goal 3; Objectives 3.1-3.3

2. Child Development
 - a. Goal 5; Objective 5.1
 - b. Goal 6; Objective 6.1

D.Martinez noted that the fiscal years reflected on the agenda do not match those in the presentation or staff letter. Staff will revise these by the next PGA Meeting. D.Martinez mentioned that in prior funding cycles, forums and community assessments were used to determine how to focus funding and inquired what tools had been used this time. M. Ramirez offered that the current strategic plan included community feedback and currently guides the commission's investments through 2024. The tables reflect what has been achieved to-date. The graded portion of the table reflects opportunities for investments.

D.Martinez also inquired on the proposed budget for these investments. M.Ramirez reminded the committee of the budget recently approved by the commission. The budget states that \$400,000 would be committed towards Commission-Initiated investments and that would be the recommendation from staff. The breakdown would be \$200,000 per fiscal year i.e., 2022/2023 and 2023/2024.

Review of proposed funding categories.

Objective 2.1 – It was decided that this goal and objective is already being met through a collaboration between the FRCs and DSS so no further investments need to be made in this area.

Objective 3.1 – D.Martinez shared that currently DSS is responsible for training social workers. D.Martinez inquired if the committee recommended funding in this area, who would be contracted and what would be the target population. M.Ramirez offered her approach to meeting this objective wouldn't be to invest directly into this objective but imbed assurances into contracts that staff is trained on these issues. D.Martinez agreed and offered that this is similar to objective 6.1 and would not require funding.

Objective 5.1 – D.Martinez commented that FRCs already incorporates this objective into their activities and if the goal was to fund other partners to deliver the same activities. M.Ramirez offered that maybe the FRCs could increase their activities to ensure the objective is fully met but no funds would be added to the FRC through a procurement process. D.Martinez suggested there could be other strategies in meeting the objective. M.Ramirez shared that the rationale behind recommending investments in this objective was to further the work achieved in partnership with the Madera County libraries.

Objective 6.1 – A recommendation was made to imbed this objective into funded program activities, but no procurement process will be created to invest in this specific objective.

Objectives 3.2 & 3.3 – These will be combined in the RFP/A process.

The following objectives were selected for inclusion in an RFP/A:

- Objective 3.2/3.3 in a combined effort; and,
- Objective 5.1.

K.Wynn recommended using the SMART model when creating and evaluating RFP/A. D.Martinez shared that if the RFP/A is designed using SMART then it makes it easier to evaluate using SMART.

D.Martinez requested an RFP/A Timeline included for review during the September PGA Meeting.

7.0 STAFF UPDATE

X.Villaseñor shared that 69 LeapFrogs and 26 infant-toddler bags were distributed to Madera and Chowchilla FRC families in July. Coming up, FRC will host distribution events in Oakhurst, September 9th and Chowchilla September 16th. There will be tablets remaining after these events, but staff is already working on other target populations, such as the migrant population.

8.0 ANNOUNCEMENTS

None.

9.0 NEXT MEETING

PGA Meeting scheduled for September 17, 2021

10.0 ADJOURNMENT

Meeting adjourned at 11:21 a.m.



TO: First 5 Madera County Program and Grant Awards (PGA) Committee

FROM: Monica Ramirez, Executive Director
Xochitl M. Villaseñor, Program Manager

SUBJECT: Grants Management Policies – Review Continued

BACKGROUND:

Staff has continued the Grants Management Policies (GMP) internal review as planned. With recommendations during the August PGA Meeting, staff has revised the formatting and integrated revisions of the first set of policies. In addition, staff prepared proposed updates for the remaining Grants Management Policies.

Policies will be presented in two sections:

1. The first section includes policies previously reviewed by the PGA with recommended revisions.
2. The second section contains policies prepared for initial review.

While the previous discussion included shifting some Grants Management Policies to other guides/manuals e.g., Financial Management Guide and Funded Program Manual, we propose to pause that part of the review process and prioritize content review as recommended by the committee.

PGA Review Timeline

Current Policy	PGA Review Date
Independent Audit	August 20
Year-End Financial Audit	
Site Visit	
Non-Compliance	
Supplantation	
Smoke-Free Environment	
Indirect & Administration Costs	September 17
Contract Budgetary Amendment	
All Policies – Final Review	October 15
Funded Partner Handbook	February 18, 2021

GOVERNING DOCUMENTS

- 1) Commission Governance Policies
 - a) Policy 1: Organizational Structure
 - b) Policy 2: Governance – Management Linkages
 - c) Policy 3: Standing Committees

- 2) Executive Director Powers and Limitations
 - a) Policy 1: Global Executive Director Powers and Limitations
 - b) Policy 2: Delegation to the Executive Director
 - c) Policy 3: Global Executive Director Constraints
 - d) Policy 4: Asset Protection
 - e) Policy 5: Financial Condition
 - f) Policy 6: Communication and Support to the Commission
 - g) Policy 7: Employee Relations

- 3) Fiscal Management Policies
 - a) Policy 1: Annual Budgetary Process
 - b) Policy 2: Cash Reserve
 - c) Policy 3: Revenue/Expenditure Reports
 - d) Policy 4: Authorization to Pay Claim
 - e) Policy 5: Annual Audit
 - f) Policy 6: Annual Report
 - g) Policy 7: Petty Cash Fund
 - h) Amendment to Increase Petty Cash Fund Policy
 - i) Cal-Card Policy
 - j) Journal Entry Signature and Procedure Policy

- 4) Public and Private Partnerships Policy

- 5) Grants Management Policies
 - a) Supplantation
 - b) Smoke Free
 - c) Year-End Fiscal Requirements
 - ~~d) Site Visit Requirements~~
 - ~~e) Non-Compliance: Programmatic~~
 - ~~f) Non-Compliance: Documentation~~
 - g) Contract Status
 - ~~h) Independent Audit Requirement~~
 - i) Indirect and Administrative Costs
 - j) Contract Amendment Request

These will be combined under **Contract Status (g)**.

- ~~6) Smoke Free Environment Policy~~ – This is being moved under Section 5: Grants Management Policy.

- 7) Duplication Charges Policy
 - a) Request to Obtain Copies of Records Form

GRANTS MANAGEMENT POLICY SECTION

SUPLANTATION

Consistent with the Children and Families First Act of 1998 as adopted by voters, and the Revenue and Taxation Code §30131.4, monies granted by First 5 Madera County shall be appropriated and expended only for the purposes expressed in the California Children and Families First Act and shall be used only to supplement existing levels of service and not to fund existing levels of service. No monies in the California Children and Families First Trust Fund shall be used to supplant state or local General Fund money for any purpose.

Implementation:

- No Commission funds shall be used to supplant (take the place of or replace) state or local money for any purpose.
- Commission funds shall only be used to supplement *existing levels of service* and not to fund existing levels of service.
- The prohibition on supplantation does not make reference to privately funded or federally funded programs. Therefore, the prohibition applies only to programs and services currently or previously funded by state or local government funds, and which are *existing* as defined below.
- The prohibition on supplantation was not intended to prevent, stifle, or discourage state or local government agencies from funding *pilot* projects, which provide valuable innovations and formation. Therefore, the prohibition should not be interpreted to apply to *pilot* programs or services, as defined below.
- The Commission may require the applicant to provide any additional information regarding sources and uses of funds at any time. Based upon all existing facts and circumstances, the Commission shall determine whether the proposal would violate policy. The Commission's determination will be made as of the time a contract is entered. For multi-year contracts or commitments, the Commission reserves the right to re-examine its determination that its funds will not be used in violation of this policy.

Definitions:

Levels of Service includes both quality and quantity of services.

Existing is defined as a service that is in effect or operation at the time a request for funding is acted upon by the Commission, or any time within the 12-month period preceding the Commission's action.

Pilot is defined as a program or service that is implemented on a temporary and limited basis in order to test and evaluate the effectiveness of the program, develop new techniques, or gather information.

~~RESOLUTION 2002-13~~

~~GRANTS MANAGEMENT – SUPPLANTATION POLICY~~

~~**SUPPLANTATION POLICY**—prohibiting use of Commission funds to supplant state or local governmental funds.~~

~~**Purpose:**~~

~~The purpose of the policy is to assure compliance with the Children and Families First Act of 1998 as adopted by voters. Revenue and Taxation Code §30131.4 provides, in part, that Proposition 10 funds shall be used only to *supplement* (or add to) existing levels of service and not to *supplant* (or replace) fund existing levels of service. It further provides that no money in the Commission's trust fund shall be used to supplant state or local monies for any purpose.~~

~~**Policy:**~~

~~The following reflects the supplantation policy of the Madera County Children and Families Commission:~~

- ~~1. No Commission funds shall be used to supplant state or local money for any purpose. Commission funds shall be used only to supplement existing levels of service and not to fund existing levels of service.~~
- ~~2. To that end, no Commission funds shall be granted or used for any existing project or program funded by state or local funds. This shall include "existing" levels of staffing, services, physical plant, etc.~~
- ~~3. The prohibition on supplantation was intended to prevent state and local governments from shifting fiscal responsibility for ongoing public programs to the state and local commissions. The prohibition on supplantation does not make reference to privately funded or federally funded programs. Therefore, the prohibition applies only to programs and services currently or previously funded by state or local government funds, and which are "existing" as defined below.~~
- ~~4. The prohibition on supplantation was not intended to prevent, stifle or discourage state or local government agencies from funding pilot projects, which provide valuable innovations and formation. Therefore, the prohibition should not be interpreted to apply to pilot programs or services, as defined below.~~

~~**Definitions:**~~

~~*Existing* means, with respect to a level of service, a service that is in effect or operation at the time a request for funding is acted upon by the Commission, or any time within the 12-month period preceding the Commission's action.~~

~~*Levels of Service* includes both quality and quantity of services~~

~~*Pilot* with respect to programs or services means those that are implemented on a temporary and limited basis in order to test and evaluate the effectiveness of the program, develop new techniques, or gather information.~~

Procedures:

- ~~1. Every applicant must disclose in its application whether the program has received funding from other sources (whether local or state government, private, or federal) within the past twelve months.~~
- ~~2. Whenever an applicant discloses that state or local government funding has been received for the proposed program or service within the last twelve months, the applicant must also demonstrate to the Commission's satisfaction:
 - ~~a. that the Commission's funds will be used to augment or improve the existing level of service, either in terms of quantity or quality, and that the existing level of service will be maintained for the duration of the Commission's action, or~~
 - ~~b. that the program or service was a pilot project that has reached the end of its pre-determined term for implementation, or~~
 - ~~c. that the program or service experienced drastic and unforeseen budgetary cuts due to extreme budgetary situations that prevent continued funding of the program/service.~~~~

~~3. The Commission may require the applicant to provide any additional information regarding sources and uses of funds at any time. Based upon all existing facts and circumstances, the Commission shall determine whether the proposal would violate policy. The Commission's determination will be made as of the time a contract is entered into. For multi-year contracts or commitments, the Commission reserves the right to re-examine its determination that its funds will not be used in violation of this policy.~~

~~Adopted by Resolution of the Madera County Children and Families Commission on _____, 2002.~~

GRANTS MANAGEMENT POLICY SECTION

SMOKE-FREE

The Children and Families First Act provides, in part, that Proposition 10 funds shall be used only to:

1. Promote optimal child development among children, and families with children, prenatal through five years old; and,
2. Promote tobacco education and awareness among pregnant mothers and families with children prenatal through five years old.

It is the policy of First 5 Madera County to adopt a smoke-free policy requiring a tobacco-free provision in any funded partner agreement.

Implementation:

All agencies and organizations receiving funding from the Commission shall provide a written copy of an established smoke-free policy prior to the disbursement of grant funds. The policy must include but is not limited to the following:

- That all relevant work sites shall be in compliance with section 6404.5 of the California Smoke-Free Law (Assembly Bill 13).
- Information and training about smoking cessation and support programs shall be made available for staff and clients.
- Information about the dangers of secondhand smoke on pregnant mothers, unborn fetus and children shall be made available for staff and clients.
- That the program shall continuously encourage parents/families with small children to not allow smoking whenever and wherever pregnant mothers and/or children are present, including in their homes, cars and even outdoors.

RESOLUTION 2002-10

SMOKE-FREE POLICY

~~SMOKE-FREE ENVIRONMENT POLICY~~—in the furtherance of Proposition 10 tobacco education and awareness as it related to pregnant mothers and children prenatal through five years old.

Purpose:

The purpose of the policy is to assure compliance with the Children and Families First Act of 1998 as adopted by voters. The Children and Families First Act provides, in part, that Proposition 10 funds shall be used only to 1.) promote optimal child development among children, and families with children, prenatal through five years old and 2.) promote tobacco education and awareness among pregnant mothers and families with children prenatal through five years old. It further provides that county Commission's shall define local strategies on the implementation of the Act.

Policy:

It is the policy of the Madera County Children and Families Commission ("the Commission") that all agencies and organizations receiving funding from the Commission shall:

1. Decline the acceptance of any and all tobacco industry sponsorship funds; and
2. Adopt a Smoke Free Environment Policy prior to the receipt of funding. This policy shall include the prohibition of all tobacco products in agency vehicles, buildings and other relevant property. The policy, as established by the agency, shall have clear procedures for implementation, protocols for monitoring compliance, reporting of violations and instituting sanctions.

Procedures:

- All funded programs shall submit a signed Smoke Free Environment Resolution and corresponding policies and procedures to the Commission prior to the execution of a contract. (Attached please find a template that may be used by funded programs)
- All funded programs shall ensure that all relevant work sites shall be in compliance with §6404.5 of the California Smoke Free Law (Assembly Bill 13)
- Information about tobacco awareness, smoking cessation and support programs shall be promoted and made available for program staff and program participants when appropriate. (The Commission will work with local tobacco awareness and education programs to develop literature and awareness materials for posting and distribution by all funded programs.)
- Information about the dangers of secondhand smoke on pregnant mothers, unborn fetus and children shall be promoted and made available for program staff and program participants when appropriate. (The Commission will work with local tobacco awareness and education programs to develop literature and awareness materials for posting and distribution by all funded programs.)
- Funded programs shall continuously encourage parents/families with small children to not allow smoking whenever and wherever pregnant mothers and/or children are present, including in their homes, cars and even outdoors

Adopted by Resolution of the Madera County Children and Families Commission on this 2nd day of October 2002

GRANTS MANAGEMENT POLICY SECTION

YEAR-END FISCAL REQUIREMENTS

Funded programs are required to submit the following documents at the end of each fiscal year:

1. Most recent independent audit report – For those contractors that are audit-exempt, a full set of financials will suffice.
2. Financial report and invoice for 4th Quarter
3. Year-End Expenditure Report
4. Fiscal Collaboration Form
5. For Non-Continuing Contracts a Statement of Use of Equipment
6. For those programs on a Corrective Action, any findings must be fully resolved before the end of the fiscal year to reach good standing status.

Additional documentation may be requested by the contract manager as deemed necessary.

~~Madera County Children and Families Commission~~

~~RESOLUTION 2001-09~~

~~GRANTS MANAGEMENT POLICY-
NO. 2~~

~~Year-End Financial Audit Requirements for Contractors~~

~~It is the policy of the Madera County Children and Families Commission that all recipients of programs funded by the Commission are required to submit an *organizational* financial audit, performed by an independent party, within 120 days following the close of their fiscal year.~~

~~In the event that such audit reflects material weaknesses and/or unfavorable statements regarding internal controls, the MCCFC shall require the submission of a *program specific* financial audit, performed by an independent party, to be conducted within 90 days of the finding. Further, the Commission may also require the submission of a *program specific* financial audit should material concerns regarding fiscal responsibility arise during regular program monitoring procedures, i.e., site visits, invoice review, expenditures inconsistent with service delivery, etc. The Commission shall pay, the cost of *program specific* financial audits initiated by the Commission.~~

GRANTS MANAGEMENT POLICY SECTION

CONTRACT STATUS

All programs funded by First 5 Madera County agree to enter into a performance-based agreement prior to receipt of any funds. Reimbursements will be contingent upon satisfactory programmatic performance and contract compliance. Those programs not meeting performance and contract standards will be placed on a non-compliance status.

Good Standing

Programs in Good Standing maintain satisfactory performance both programmatically and contractually. These programs demonstrate strong program compliance by submitting timely reports, being responsive to staff requests, and maintaining staff well-informed of program progress outside of quarterly reports. Additionally, program activities are being met at the agreed upon intervals.

Non-Compliance

Programs classified as being in non-compliance can be categorized within two (2) categories either individually or concurrently: Programmatic Non-Compliance and/or Documentation Non-Compliance.

I. Programmatic Non-Compliance

Refers to any deficiencies within the delivery of activities and project design. In the event of non-compliance, First 5 Madera County staff will adhere to the following protocol:

1. Identify non-compliance or contract deficiency.
2. Verbally communicate non-compliance and/or deficiency to funded program staff.
3. Communicate non-compliance and/or deficiency to funded program staff via written correspondence.
4. Develop a "Corrective Action Plan", in collaboration with funded program staff, to be signed by both Commission staff and funded program staff.
5. Monitor progress made on the Corrective Action Plan monthly.
6. Failure to adhere to the stipulations outlined in the Corrective Action Plan will result in follow-up correspondence from the First 5 Madera County Executive Director reiterating expectations.
7. Continued non-compliance will result in the Executive Director providing written notification of a freeze on all funds effective 30 days from the date of the correspondence and consult with the Program and Grant Awards (PGA) Committee and/or First 5 Madera County Commission to consider next steps, which may include project termination.
8. If contract termination is decided, the following will occur:
 - i. Determine the total amount due to the funded agency as of the date of the freeze.
 - ii. Seek clearance from legal counsel prior to proceedings. Issue documentation to legal counsel and PGA Chair noting the circumstances with a recommendation for contract termination. Note the amount due to the funded agency and include the recommended fiscal settlement.
 - iii. Bring the matter before the PGA for formal approval to terminate.
 - iv. Bring the matter before the full Commission for consideration, depending upon PGA recommendation.
 - v. Proceed with PGA and/or COMMISSION recommendations.

II. Documentation Non-Compliance:

Refers to the failure to submit required documentation (quarterly reports, invoices, year-end audits, etc.) as stipulated in the performance-based agreement. In the event of non-compliance, First 5 Madera County staff shall adhere to the following protocol:

1. Within two (2) business days following the due date, funded program staff will be contacted via telephone and/or email to offer a reminder of the failure to submit required documents and given a due date of five (5) business days after the original due date.
2. If a response or documents are not received by the new due date, funded program staff will be notified via telephone and/or email regarding the failure to submit required documentation by the extended date and allowed two (2) additional business days from the date of the second notification to submit required documentation.
3. Continued non-compliance will result in the First 5 Madera County Executive Director providing written notification of a freeze on all funds effective 30 days from the date of the correspondence and consult with the Program and Grant Awards (PGA) Committee and/or Commission to consider next steps, which may include project termination.
4. If the funded program continues program activities, it will do so using agency funds and reimbursement from First 5 Madera County will not be guaranteed. A final deadline of two (2) business days will be given to submit required documents.
5. If funded program staff does not respond by the final extended deadline, Commission staff will begin contract termination proceedings as follows:
 - i. Determine the total amount due to the funded agency as of the date of the freeze.
 - ii. Seek clearance from legal counsel prior to proceedings. Issue documentation to legal counsel and PGA Chair noting the circumstances with a recommendation for contract termination. Note the amount due to the funded agency and include the recommended fiscal settlement.
 - iii. Bring the matter before the PGA for formal approval to terminate.
 - iv. Bring the matter before the full Commission for consideration, depending upon PGA recommendation.
 - v. Proceed with PGA and/or COMMISSION recommendations.

Madera County Children and Families Commission

GRANTS MANAGEMENT POLICIES

MCCFC Policy No. 3 Site Visit Requirements

It is the policy of the Madera County Children and Families Commission that all funded programs are required to participate in a quarterly site visit throughout the term of the contract, unless otherwise stipulated in the contract. Commonly, a site visit involves interviewing key staff as named in the contract, observing activities, reviewing records (program and/or fiscal), and speaking informally with program participants. The complexity of the program will determine the amount of time spent onsite. All visits will include a Site Visit Questionnaire (see attachment A) to be signed and dated by MCCFC and program staff.

MCCFC Policy No. 4 Non-Compliance: Programmatic

It is the policy of the Madera County Children and Families Commission that all funded programs enter into a performance based contract prior to receipt of any funds. Subsequent reimbursements will be contingent upon satisfactory performance and contract compliance. In the event of contract non-compliance, Commission staff shall follow the following protocol:

1. Identify non-compliance or contract deficiency
2. Present non-compliance or deficiency to project representative
3. In collaboration with project representative, develop a *Non-Compliance Action Plan* (See Attachment B) to be signed by both Commission and project representative.
4. Commission staff shall monitor progress made on the *Non-Compliance Action Plan*.
5. Failure to adhere to stipulations outlined in the *Non-Compliance Action Plan*, shall result in
 - a. Follow-up correspondence from Commission Executive Director reiterating expectations.
 - b. If non-compliance continues, Commission Executive Director shall freeze all funds to the project and consult with the Program and Grant Awards Committee and/or the Commission to consider next steps, which might include project termination.

MCCFC Policy No. 5 Non-Compliance: Documentation

Failure to submit required documentation (i.e., quarterly report, invoice, year-end audit, etc.) in a timely manner as stipulated in the performance based contract should be addressed as follows:

1. Upon 7 days following the due date, the contractor shall be contacted by telephone and offered a reminder of the failure to submit required documentation.
2. In the event such documentation is not submitted upon fifteen (15) days following the due date, the contractor shall be notified in writing regarding the failure to submit required documentation and allowed fifteen (15) days from the date of the correspondence to submit all required documentation. Correspondence should clearly state that if required documentation is not received within the fifteen day period, a freeze shall be applied to all grant funds as of the date of the correspondence.
3. In the event such documentation is not submitted by the contractor within the allowed time, a Commission representative shall attempt to make contact with the contractor, via telephone or in person, to seek clarification as to the delinquency. During this contact, conversation, the Commission representative shall make clear to the contractor that if this matter is not resolved within seven (7) business days, contract termination proceedings shall begin. This contact, conversations, shall be followed up immediately with written correspondence

~~reiterating the timeline and implications. Fax correspondence the same day and indicate that the hard copy is to follow in US mail.~~

- ~~4. In the event required documentation is not received within the allowed time, a Commission representative shall begin contract termination proceedings as follows:~~
 - ~~a. Determine the total amount of funds issued to the contractor to date (advance and quarterly reimbursements).~~
 - ~~b. Determine the total amount due to the contractor as of the date of the contract freeze.~~
 - ~~c. Issue documentation to County Counsel and the PGA Chair noting the circumstances with a recommendation for contract termination. Note the total amount due to the contractor or Commission (a b) and include in the recommendation a fiscal settlement. Seek clearance from County Counsel prior to proceeding.~~
 - ~~d. Bring the matter before the PGA Committee with recommendation to terminate.~~
 - ~~e. Depending upon PGA recommendation, bring the matter before the full MCCFC for consideration.~~

CONTRACTING AND PROCUREMENT POLICY AND PROCEDURES MANUAL

GENERAL

- I. Operational Services
 - A. Purchasing/Receiving
 - B. Formal Bids: Request for Proposal (RFP) or Request for Quotation

- II. Programmatic Services
 - A. Community Developed Initiatives
 - B. Commission-Developed Initiatives
 - C. Emerging Initiatives and Approaches to Fund Allocation
 - D. Funding Criteria
 - E. Authority

CONTRACTING AND PROCUREMENT POLICY AND PROCEDURES MANUAL

INDEPENDENT FINANCIAL AUDIT

I. Operational Services

A. Purchasing/Receiving

B. Formal Bids: Request for Proposal (RFP) or Request for Quotation (RFQ)

An RFP is used when the Commission cannot precisely set forth its needs. Instead of specifications, a statement of work is written, and applicants are asked to propose solutions. The RFP will detail what vendors are to submit, the cost for their proposals; and how the Commission will evaluate the proposals, select vendors, and develop the contract.

All requirements for the RFP will include:

- A clear description of the problem to be solved. If a problem cannot be clearly delineated, it is either not sufficiently addressed by a bidder or it is not really a problem deserving of the bidder's attention.
- What the bidder is to accomplish. This would include any desired approach to the problem; practical, policy, technological and legal limitations; specific questions to be answered; description of the items to be delivered; format and number of copies of the completed reports; and the extent and nature of the assistance and cooperation which will be available to the bidder from the Commission or its designee.
- Firm or established time schedules with dates including, but not limited to award of contract; commencement of performance; submission of progress reports, if any; and completion.
- Whether and to what extent progress payments will be allowed; and, if deemed appropriate, known, or estimated budgetary limitations on the contract price.
- A requirement that the prospective bidder include:
 - a. The professional qualifications of the personnel that the firm will commit to the assignment.
 - b. An overall description of the techniques to be used in solving the problem.
 - c. The total cost of the proposal including a detailed breakdown of how it was computed and any desired method of payment.
 - d. That the prospective bidder includes in the proposal the most recent financial audit performed by an independent audit.

~~Madera County Children and Families Commission~~

~~RESOLUTION 2000-06~~

~~GRANTS MANAGEMENT POLICY NO. 1~~

~~**Independent Audit Requirements**~~

~~It is the policy of the Madera County Children and Families Commission that all programs funded by the Commission are required to submit a programmatic and financial audit, performed by an independent party, within 120 days following the close of their fiscal year.~~

~~Audit Exempt Programs~~

~~The Commission will establish a threshold for audit requirements such that all programs funded by the Commission at, or below, \$10,000 will be exempt from such audit requirements. Further, all audit exempt programs will be required to submit to the Commission *all* documentation (i.e., invoices, receipts, payroll records, etc.) reflective of *all* expenditures associated with the funded program.~~

GRANTS MANAGEMENT POLICY SECTION

INDIRECT AND ADMINISTRATIVE COSTS

Indirect and administrative costs are defined as “central services” that benefit the operation of the agency and cannot be readily linked to the First 5 Madera County funded program or a particular activity of the funded program.

Specifically, indirect costs may include such activities as human resources, legal services, facilities, maintenance, technology, insurance, advertising, and audits; and administrative costs may include overhead costs such as staff supervision, general accounting, subscriptions, dues, and memberships.

The Commission recognizes contractors have administrative systems unique to their agencies, therefore it allows the agency to implement a combined indirect/administrative rate that does not exceed 15% of all program cost excluding capital purchases and equipment.

~~Madera County Children and Families Commission~~

~~RESOLUTION 2002-11~~

~~GRANTS MANAGEMENT POLICY~~

~~Indirect and Administrative Cost Rate~~

~~Establishing a policy for indirect and administrative costs for programs funded by the Madera County Children and Families Commission ("the Commission").~~

~~Purpose:~~

~~The purpose is to establish policy and procedures to govern the indirect and administrative costs as charged to projects funded by the Commission. By establishing such a policy, the Commission can assure fair and consistent methodology for contractors to develop and apply indirect and administrative cost rates on programs funded by the Commission.~~

~~Policy:-~~

~~Indirect and administrative cost rates will be applied against salaries, benefits and operating expenses, excluding any capital expenses. In no instance will the indirect cost rate charged be greater than 10% of eligible contract costs. In no instance will the administrative cost rate charged be greater than 5% of eligible grant amounts.~~

~~Procedures:~~

- ~~• All contractors will utilize their agency's pre-determined indirect cost rate or have a Cost Allocation Plan on file in their agency to substantiate charging indirect costs against any Commission program. Agencies that have a pre-determined indirect cost rate will utilize that rate, or 10%, whichever is less.~~
- ~~• Agencies that have a pre-determined administrative cost rate will utilize that rate, or 5%, whichever is less.~~
- ~~• In no instance will the indirect cost rate be greater than 10% of eligible contract costs.~~
- ~~• In no instance will the administrative cost rate be greater than 5% of eligible contract costs.~~
- ~~• The indirect and/or administrative cost rate will be applied to the entire cost of the program, excluding capital expenses, as defined below.~~

~~Definitions:~~

~~Indirect and Administrative costs are defined as "costs that have been incurred for common or joint program objectives and cannot be readily identified with a particular final cost objective." These costs do not provide a measurable, direct benefit to a particular program or activity, unlike direct costs. Indirect costs may include such activities as human resources functions, legal services, advertising, and audits. Administrative costs may include such activities as staff supervision, subscriptions, dues, and memberships.~~

~~Capital Expenses are defined as any single item or real or personal property costing \$1,000 or more, or any other expense that is capitalized in the agency's operating budget.~~

~~Adopted by Resolution of the Madera County Children and Families Commission on this 2nd day of October 2002.~~

GRANTS MANAGEMENT POLICY SECTION

CONTRACT AMENDMENT REQUEST

First 5 Madera County understands that offering the necessary flexibility to accommodate funded programs is vital to ensuring program success. As such, formal contract amendment requests to the budget or deliverables can be submitted only during the 3rd Quarter of each fiscally funded year to the Contract Manager following the Contract Amendment Request process.

Only requests following the specified principles below will be considered:

1. Requests with no change to the original board approved dollar amount; and,
2. Requests where the proposed changes to the deliverables or budget fall within the original intent of the approved funding.

A Contract Amendment Request is required:

- When there is a proposed change to the contract agreement, e.g., term, activities, targets, methodology and evaluation.
- When there is a proposed change of more than 10% of any budget category i.e., Personnel, Operating Expenses, Indirect/Administrative and Equipment Purchase.
- When there is a proposed change to budgets of multiple-year contracts from year-end projections to actuals.

No retroactive budget or deliverables revisions will be approved. Contract Amendment Requests are granted at the sole discretion of First 5 Madera County and can be either approved or rejected based on:

- Identified program need
- Relevance to the program's measurable outcomes plan
- Justification of the request
- Availability of funds

Funded programs allocations are restricted funds for the term of the contract. Any unspent funds of year one of a multiple-year contract will generally be allocated to the following year's fiscal year. Any unspent funds on or after year two of the contract are allowed with a 15% cap.

~~Madera County Children and Families Commission~~

~~RESOLUTION 2002-12~~

~~GRANTS MANAGEMENT POLICY~~

~~Contract Budgetary Amendment Threshold Policy~~

~~Authorizing the establishment of an amendment threshold for all contracts executed by the Madera County Children and Families Commission (hereinafter referred to as COMMISSION).~~

~~**Purpose:**~~

~~The purpose of the policy is to institute a threshold for minor contract budgetary amendments to be addressed by COMMISSION staff under the direction of the Executive Director. By establishing such threshold, the process for minor budgetary amendments will require less administrative labor by COMMISSION staff and contracted programs and allow for timely authorization of such requests so that contracted programs may not experience pauses in program delivery.~~

~~**Policy:**~~

~~It is the policy of the Madera County Children and Families Commission that the Executive Director will have the discretion to consider and authorize requests for minor contract budgetary amendments as follows:~~

- ~~• All transfers of 25 percent or less of a line item.~~

~~It is the policy of the Madera County Children and Families Commission that the Program and Grant Awards Committee (PGA) will have the discretion to consider and authorize requests for moderate contract budgetary amendments as follows:~~

- ~~• All transfers of 26 to 49 percent of a line item.~~

~~It is the policy of the Madera County Children and Families Commission that the PGA Committee will first have the discretion to consider requests for significant contract budgetary amendments, followed by formal COMMISSION action, as follows:~~

- ~~• All transfers over 50 percent of that line item will require, first a review by the PGA Committee, allowing for grantee participation for clarification if necessary, then formal action by the COMMISSION.~~

~~**Procedures:**~~

- ~~1. All contracted programs will provide a completed *Budget Modification Request Form* accompanied by a brief written justification to COMMISSION reflecting the requested transfer.~~
- ~~2. All requests for budgetary amendments meeting the criteria of 25 percent or less will be considered by the Executive Director. COMMISSION will notify the agency of the Executive Director's decision within 10 days of request.~~
- ~~3. All requests for budgetary amendments meeting the criteria of 26-49 percent will be considered and approved by the PGA Committee. COMMISSION will notify the agency of the PGA Committee's decision within 20 working days of request.~~

- ~~4. All requests for budgetary amendments meeting the criteria of 50 percent or greater will be considered by the PGA Committee, then the full COMMISSION for formal action. COMMISSION will notify the agency of the COMMISSION's decision within 35 working days of request.~~
- ~~5. Requests for budgetary amendments where the total transfer is 49% or less of a line item must be submitted at least 45 days prior to the completion of the grant period as indicated by the contract. Requests for budgetary amendments where the total transfer is greater than 49% of a line item must be submitted at least 90 days prior to the completion of the grant period as indicated by the contract.~~
- ~~6. Following two or more requests for Budgetary Amendment from the same program, all subsequent requests will be subject to PGA and full COMMISSION review, regardless of the percentage of change.~~

~~Adopted by Resolution of the Madera County Children and Families Commission on 2nd day of October 2002.~~



AGENDA ITEM 5.0
 ACTION INFORMATION

TO: First 5 Madera County Program and Grant Awards (PGA) Committee
 FROM: Monica Ramirez, Executive Director
 SUBJECT: 2022-2023 and 2023-2024 Strategic Investments

KEY POINTS:

The PGA Committee provided recommendations for staff to direct the next cycle of funding opportunities to target Goal 3, Objectives 3.2 and 3.3 and Goal 5 Objective 5.1 of the approved First 5 Madera County 2020-2024 Strategic plan as outlined in the table below.

Staff continues the work for the new funding cycle and, as requested by the committee, updated the funding cycle timeline, see attachment.

FAMILY INVOLVEMENT: Cultivate parenting skills and enhance access to services	CHILD DEVELOPMENT: Ensure children have access to quality early learning experience and environments
GOAL 3 Increase community capacity to effectively promote family resiliency	GOAL 5 Empower parents to be their child’s first teacher
<u>Objective 3.2</u> Increase parenting interventions that are culturally sensitive	<u>Objective 5.1</u> Increase opportunities for quality parent-child interaction and activities
<u>Objective 3.3</u> Increase access to social and concrete supports to reduce the effects of family isolation	

2022-2023 AND 2023-2024 STRATEGIC INVESTMENTS FUNDING CYCLE

DATE	ACTIVITY
July 2021	<ul style="list-style-type: none"> • Assessment on progress made to date on the Strategic Plan Goals and Objectives (2019-2022) • Research funding options and trends • Research funding allocation and budget
August 20, 2021	Review Strategic Plan Progress spreadsheet with PGA Meeting for feedback
September 17, 2021	Further research strategic investment opportunities within the select strategic plan goals and objectives identified by the PGA.
October 15, 2021	PGA reviews and provides feedback on 2022/2023-2023/2024 draft procurement strategies i.e., RFP/RFQ/Sole Source etc.
November 19, 2021	PGA reviews and approves 2022/2023-2023/2024 draft procurement strategies i.e., RFP/RFQ/Sole Source etc.
December 1, 2021	Commission reviews and approves the release of 2022/2023-2023/2024 procurement strategies.
December 2, 2021	Procurement strategies are released (RFP, RFQ, etc.)
January 28, 2022	Application deadline
Jan 31 – Feb 4, 2022	Community review panel evaluates applications
February 7, 2022	Community review panel meeting
February 18, 2022	<ul style="list-style-type: none"> • Staff presents consensus building outcomes to PGA • PGA reviews application summaries and creates funding recommendations to Commission
March 2, 2022	Commission considers PGA funding recommendations