

## READY Plus      Contract Agreement

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*Vendor/Sole Source: Strategic Initiative 5,  
Cross-Cutting Strategies*

### ***Human Services Department***

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### ***Contract Contact***

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## READY Plus

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### Agreement number\*

2122-500-00

This AGREEMENT ("Agreement") entered into as of the **07/01/2021** ("Date of Agreement") is by and between the **FIRST 5 SONOMA COUNTY COMMISSION**, a public body and legal entity ("Commission") and **County of Sonoma Human Services Department - Upstream Investments** ("Contractor"). This Agreement shall be administered by an authorized designee of the COMMISSION.

AND

### Name of funded partner (organization)\*

County of Sonoma Human Services Department - Upstream Investments

### Project Name\*

READY Plus

## RECITALS

**A.** In order to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development, the California legislature adopted legislation set forth in the California Children and Families Act of 1998, Health and Safety Code Section 130100, et seq. (as amended, the "Act"), implementing the Children and Families First Initiative passed by the California electorate in November of 1998, establishing the First 5 California Commission (formerly California Children and Families Commission, and providing for establishment in each county of First 5 Commissions (formerly Children and Families Commissions), including First 5 Sonoma County.

**B.** The First 5 Sonoma County COMMISSION has adopted a Strategic Plan to define how funds authorized under the Act should best be allocated to meet the critical needs of Sonoma County's children prenatal through age five as codified in the Act, which plan has been amended and after the Date of Agreement may be further amended, updated, or revised ("Strategic Plan").

**C.** COMMISSION desires to contract with CONTRACTOR to provide services, carry out certain performance activities and obligations, and achieve certain outcomes, while promoting the purposes of the Act and the First 5 Sonoma County Strategic Plan on the terms and conditions set forth in this Agreement and the *Project Summary*, (Exhibit A); *Scope of Work*, (Exhibit A-1); *Project Budget*, (Exhibit B) and *Budget Narrative* (Exhibit B-1).

D. CONTRACTOR desires to provide the services in furtherance of the purposes of the Act and the First 5 Sonoma County Strategic Plan on the terms and conditions set forth in this Agreement and is able, qualified, and willing to perform these services for the COMMISSION.

**NOW**, based on the Recitals, which are a substantive part of this Agreement, and agreed mutual consideration, COMMISSION and CONTRACTOR agree as follows:

#### **TERM**

This Agreement begins and is made effective as of **07/01/2021** (the "Effective Date"),

#### **Project Start Date\***

07/01/2021

And ends on the date below **06/30/2024**, unless terminated earlier under this Agreement (the "Term").

#### **Project End Date\***

06/30/2024

\*

CONTRACTOR agrees to this TERM

#### **PERFORMANCE**

##### **Services**

CONTRACTOR must provide, to the complete satisfaction of the COMMISSION, all services described in Project Summary (Exhibit A) and Scope of Work (Exhibit A-1), attached and incorporated into this Agreement) (the "Services").

The Scope of Work may be updated periodically throughout the Agreement period based on the Results Based Accountability "Turn the Curve" process. Each updated Scope of Work will be included for records and performance documentation.

##### **Budget**

CONTRACTOR must comply with all criteria and standards contained in *Project Budget* (Exhibit B) and *Budget Narrative* (Exhibit B-1), attached and incorporated into this Agreement.

##### **Purpose**

Pursuant to state law and the First 5 Sonoma County Strategic Plan, CONTRACTOR must provide the Services for the sole purpose of promoting, supporting, and improving the early development of children residing in Sonoma County from the prenatal stage through 5 years of age. CONTRACTOR must only:

- a. Provide the Services to children ages prenatal through age five who reside in Sonoma County;

- b. Provide the Services to parents, primary care givers, or legal guardians of children ages prenatal through age five who reside in Sonoma County; or
- c. Provide the Services that support professionals, service providers and/or systems, who in turn provide services to (i) children ages prenatal through age five who reside in Sonoma County, or (ii) the parents, primary care givers, or legal guardians of these children.

#### **Capabilities**

CONTRACTOR represents and warrants that it has the expertise, appropriate licenses, support staff, and facilities necessary to provide the Services in a timely and professional manner.

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CONTRACTOR agrees to the PERFORMANCE

### **COMPLIANCE WITH STRATEGIC PLAN, and OTHER REQUIREMENTS**

#### **Strategic Planning**

CONTRACTOR must provide the Services in a manner consistent with the objectives in the COMMISSION's Strategic Plan, available on the COMMISSION's website – [www.first5sonoma.org](http://www.first5sonoma.org) - and incorporated by reference into this Agreement (the "Strategic Plan"). In order to carry out these objectives, COMMISSION may, from time to time and at the COMMISSION's sole discretion, request CONTRACTOR to work with other COMMISSION-affiliated service providers in order to integrate the Services into other programs funded directly or indirectly by the COMMISSION. CONTRACTOR must make reasonable efforts to comply with the COMMISSION's request.

#### **Other Requirements**

CONTRACTOR must comply with all other criteria and standards contained in this Agreement and all exhibits, and any additional COMMISSION policies, procedures, or other requirements in effect during the Term.

\*

CONTRACTOR agrees to Compliance with Strategic Plan, and Other Requirements

### **COMPENSATION**

#### **Project Budget**

Compensation for the Services is based on actual costs as described in Exhibits B and B-1.

#### **Reimbursement**

The COMMISSION will reimburse CONTRACTOR for all necessary, reasonable, and justifiable expenses, as determined by the COMMISSION, incurred in accordance with the Project Budget for providing the Services and/or activities on behalf of the COMMISSION in an aggregate amount not to exceed **\$Amount Awarded** (the "Contract Amount"). The COMMISSION will follow the reimbursement process set forth. Payment on all invoices is contingent upon CONTRACTOR's compliance with all contractual requirements including, but not limited to, the achievement of performance standards and the timely submission of Progress Report data, as defined below and.

## Amount Awarded

\$798,265.00

### a. Invoicing

CONTRACTOR must request reimbursement by submitting to the COMMISSION an invoice at the determined frequency declared in this Agreement, within 30 days of the last day of the month in which services were provided, an invoice that includes detail setting forth actual expenditures as compared to the Project Budget.

## Invoicing\*

CONTRACTOR must request reimbursement by submitting to the COMMISSION [frequency marked below], or as often as the COMMISSION requires or allows, an invoice that includes detail setting forth actual expenditures as compared to the Project Budget. CONTRACTOR must submit each invoice according to the guidelines set forth in the Manual, as amended.

CONTRACTOR agrees to invoicing requirement

## Invoice frequency

Quarterly

### b. Progress Reporting Requirements

CONTRACTOR must submit client level data on achievement of targets on a **quarterly** basis either via Excel spreadsheet, in the grants management system Foundant, or in another data system in a form that will be provided to the CONTRACTOR by the COMMISSION. COMMISSION is currently in the process of implementing a new reporting database - when implementation is complete and training has been provided to CONTRACTOR on data entry procedures, CONTRACTOR must enter data directly into the database on a quarterly basis going forward. The COMMISSION must receive quarterly reports no later than the 15th day after the ending of the previous quarter, or as the COMMISSION requires. CONTRACTOR must submit all data and reports in a form provided by the COMMISSION and according to the guidelines, policies, and procedures set forth in the Manual, as amended.

### Disallowed Costs

The COMMISSION will not reimburse CONTRACTOR for any expense that it determines, in its sole discretion, to be a supplanting of funds or program income, as described below, or a disallowed cost, as further described in the Manual, as amended.

\*

CONTRACTOR agrees to all COMPENSATION sections above

## **SUPPLEMENTING EXISTING SERVICES LEVELS and SUPPLANTING OTHER FUNDS**

### **Supplanting Law & Policy**

The Parties are bound by the provisions of the COMMISSION's supplanting policy and Section 30131.4(a) of the Revenue and Taxation Code, which states:

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

### **Prohibition Against Supplanting**

CONTRACTOR must not use any funds provided by the COMMISSION to **supplant** existing funds in contravention of law or COMMISSION policy. CONTRACTOR must use any monies leveraged, obtained through matching funds, part of governmental or private grant funds, or in any way resulting from the use of funds provided by the COMMISSION, solely in performing the Services. CONTRACTOR's use of these funds is subject to the COMMISSION's approval at the COMMISSION's sole discretion.

### **Additional Funds**

#### **a. Receipt of Additional Funds**

If CONTRACTOR receives any funding for services from state, regional, federal, or local governmental agencies or philanthropic entities that is not otherwise earmarked for particular projects ("Additional Funds"), CONTRACTOR must notify the COMMISSION in the next reporting period of the amount of Additional Funds received and all terms and conditions attached to CONTRACTOR's use of the Additional Funds. CONTRACTOR must use as much of the Additional Funds as possible toward providing the Services. The COMMISSION will not reimburse CONTRACTOR for any expenses CONTRACTOR incurs in providing the Services to the extent CONTRACTOR did use or could have used Additional Funds to pay for the same portion of the Services.

#### **b. Abuse of Additional Funds**

The COMMISSION may, at its sole discretion, investigate CONTRACTOR's use of Additional funds and may require CONTRACTOR to document its use of the Additional Funds along with funds it receives under this Agreement. If the COMMISSION determines, in its sole discretion, that CONTRACTOR used both COMMISSION funds and Additional Funds to pay for any expense substantially similar or reasonably related to the Services, CONTRACTOR must reimburse the COMMISSION for all COMMISSION funds expended in this manner. The COMMISSION may also, at its sole discretion, require that CONTRACTOR certify to the COMMISSION that it is not using or will not use Additional Funds to fund any portion of those services funded by the COMMISSION.

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CONTRACTOR agrees to terms of SUPPLANTING EXISTING SERVICE LEVELS and SUPPLANTING OTHER FUNDS

## **PROGRAM INCOME**

### **Definition**

“Program Income” means gross income earned by CONTRACTOR that is directly generated by a supported activity or earned as a result of funds awarded by the COMMISSION or procured directly or indirectly under this Agreement. Program Income includes, but is not limited to, income from fees for Services performed, the use or rental of real or personal property acquired under COMMISSION-funded projects, the sale of commodities, curriculum, marketing materials or items fabricated under funds awarded by the COMMISSION, license fees and royalties on patents and copyrights, and interest on loans made with funds awarded by the COMMISSION.

#### **Restrictions on Use**

CONTRACTOR must use Program Income only for providing the Services. CONTRACTOR must place and maintain Program Income in a separate cost center or fund trackable in CONTRACTOR’s accounting system for CONTRACTOR’s performance of the Services. CONTRACTOR must notify the COMMISSION immediately upon ascertaining the existence of Program Income. The COMMISSION may offset future disbursements and reimbursements to CONTRACTOR in an amount equal to all funds identified by CONTRACTOR as Program Income, and that the COMMISSION determines, in its sole discretion, to be Program Income.

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CONTRACTOR agrees to terms of PROGRAM INCOME as described above

#### **FISCAL COMPLIANCE**

##### **Management of Funds**

CONTRACTOR must not commingle funds it receives directly or indirectly under this Agreement with any other funds. CONTRACTOR must use all funds procured directly or indirectly under this Agreement solely for providing the Services as set forth in this Agreement. CONTRACTOR must comply with the controls, record keeping, and fund accounting procedure requirements of the COMMISSION (specified in the Manual, as amended), and all federal, state, and local regulations and directives, to ensure the proper disbursement of, and accounting for, program funds paid to CONTRACTOR and disbursed by CONTRACTOR under this Agreement. CONTRACTOR must track and report costs in conformance with Generally Accepted Accounting Principles (“GAAP”).

##### **Financial Statement**

CONTRACTOR must submit an annual, independently audited, organization financial statement to COMMISSION on or before April 30th of each year during the Term.

##### **Cost Allocation Plan**

CONTRACTOR must prepare and comply with an agency-wide indirect cost allocation plan/methodology and submit plan to the COMMISSION. CONTRACTOR represents that it has submitted this plan prior to executing this Agreement.

\*

CONTRACTOR agrees to terms of FISCAL COMPLIANCE as described above

## COMMISSION'S OVERSIGHT OF CONTRACTOR

### Monitoring and Evaluation

The COMMISSION will monitor and evaluate performance of the Services through all means it considers necessary, in its sole discretion, to ensure that CONTRACTOR is complying with the Act and the terms of this Agreement. The COMMISSION may establish and provide policies and procedures governing the means by which it monitors, evaluates, and reports on CONTRACTOR's performance and how it makes funding decisions. CONTRACTOR understands that determining whether CONTRACTOR is performing the Services in accordance with this Agreement and whether the COMMISSION will continue to provide funding to CONTRACTOR under this Agreement is solely the responsibility and within the discretion of the COMMISSION.

### Data Collection

CONTRACTOR must fully cooperate with the COMMISSION in the implementation of monitoring and evaluation procedures including, but not limited to, data collection, data entry, reporting activities, and deadlines for deliverables described in Exhibit A-1 and as otherwise required by the COMMISSION. As part of the COMMISSION's monitoring and evaluation process, as well as the COMMISSION's obligation to carry out its objectives under the Act, CONTRACTOR must provide all data and information required by the COMMISSION at any time during the Term, or as otherwise required by this Agreement. The COMMISSION will only request data that is directly or indirectly related to the Services.

### Annual Contract Review and Site Visits

The COMMISSION will, at minimum annually, conduct a review of this Agreement as part of its monitoring or evaluation activities. During a review, the COMMISSION may visit any and/or all locations where the Services are being provided. The COMMISSION may also make additional visits, at any time and at any location, at the COMMISSION's sole discretion. The frequency of these additional visits will vary depending on the findings made by COMMISSION staff in any ACR. The COMMISSION reserves the right to make unannounced visits during regular business hours or schedule a visit outside of regular business hours.

### Audit and Inspection

- a. CONTRACTOR must maintain and make available to the COMMISSION accurate books and records relevant to all of its activities under this Agreement. The COMMISSION may conduct one or more audits or examinations (the "Audit and Inspection Activities"). As part of the Audit and Inspection Activities, the COMMISSION may copy any records, including, without limitation, invoices, materials, personnel records, client files, sign-in sheets, or any other information or data related to all matters covered by this Agreement. CONTRACTOR must reasonably cooperate with the COMMISSION's efforts to carry out the Audit and Inspection Activities. Notwithstanding the Term, the Audit and Inspection Activities will continue in full force and effect for 4 years from the expiration of the Term, or until the COMMISSION has notified CONTRACTOR in writing that the Audit and Inspection Activities are completed, whichever occurs last.
- b. CONTRACTOR must immediately report to the COMMISSION any incidents of fraud, abuse, or other criminal activity regarding provision of the Services or otherwise related to this Agreement or the expenditure of COMMISSION funds.

### Record Retention

CONTRACTOR must maintain records in accordance with the policies and procedures set forth in the Manual, as amended. All records must describe and support the use of funds for the Services. CONTRACTOR must maintain all data and records in an accessible and secure location in good condition for at least 4 years from the expiration of



the Term or until the COMMISSION has notified CONTRACTOR in writing that the Audit and Inspection Activities are completed, whichever occurs last. In the event that CONTRACTOR misplaces, loses, or otherwise fails to maintain all data and records in accordance with this Section or the Manual, as amended, the COMMISSION, at its sole discretion, may disallow any costs directly or indirectly related to the missing, lost, or improperly maintained record or records.

#### **Governmental Agencies and State Auditor General**

The State of California or any state, federal, or local agency having an interest in the subject of this Agreement has the same rights as conferred upon the COMMISSION under this Section. If this Agreement exceeds \$10,000, CONTRACTOR is subject to the examination and audit of the State Auditor for a period of 3 years after final payment under this Agreement (Government Code § 8546.7).

#### **Single Audit Act**

Even though funds received under this Agreement are not federal funds, if CONTRACTOR is audited under the Single Audit Act and OMB Circular A-133, it must have its independent auditor include the funds received and expended under this Agreement as part of the testing. Although the programs tested under these provisions are selected on a risk-based approach, and for Federal Government purposes this Agreement would not be included in that analysis, the COMMISSION requires that at least a representative number of transactions will be selected for testing from these contracted funds. The number of transactions selected could be based on a statistical sampling method, materiality levels, or on the auditor's judgment as long as the auditor determines that the expenditures made are appropriate under this Agreement. The COMMISSION reserves the right to create audit guidelines with which CONTRACTOR must comply.

#### **Penalty**

CONTRACTOR's failure to (a) timely and accurately submit any document, report, or data in a timely and accurate manner, or (b) otherwise adhere to the COMMISSION's administrative, programmatic, or financial requirements specified in this Agreement or in the Manual, as amended, may result in the COMMISSION imposing penalties, which may include, without limitation: withholding of payment by the COMMISSION; suspension without payment; termination of this Agreement; disgorgement of funding, and loss of eligibility to receive future funding from the COMMISSION. CONTRACTOR may appeal the penalty in writing to the COMMISSION or designated standing committee, on CONTRACTOR's company letterhead, setting forth the extenuating circumstances that caused the tardy or inaccurate submission. The COMMISSION has sole discretion whether to waive any penalty.

#### **Confidentiality**

- a. CONTRACTOR acknowledges that during the Term it might have access to Confidential Information required for effective coordination and delivery of services to children and their families. CONTRACTOR will ensure that all of its employees, agents, contractors, and representatives will comply with the terms and conditions of this Agreement and all applicable laws regarding the access, use, and dissemination of Confidential Information. All confidential discussions, deliberations, and Confidential Information generated, submitted, or maintained in connection with this Agreement must be disclosed only to persons who have a specific and bona fide "need to know" and authority to access Confidential Information.

Furthermore, CONTRACTOR must not disclose to third parties:

- (i) any Confidential Information without the express written consent of the COMMISSION, and
- (ii) any individually identifiable Confidential Information related to a child without the additional written authorization from the child's parent or legally authorized representative.

b. For purposes of this Agreement and to the extent permitted by law, "Confidential Information" includes, but is not limited to, any data, ideas, know-how, materials, products, formulas, processes, technology, computer programs, specifications, drawings, diagrams, manuals, plans, policies, software, financial information, personnel information, client information, any information entered into or contained in the COMMISSION's databases or spreadsheets, and other information disclosed or submitted, orally, in writing, or by any other media; provided, however, that Confidential Information shall not include information that:

(i) is or becomes generally available to or known by the public other than as a result of a disclosure made by the Parties;

(ii) is disclosed by CONTRACTOR because such information was compelled by court order; or

(iii) was available to CONTRACTOR on a nonconfidential basis prior to disclosure by the COMMISSION or an affiliate of the COMMISSION and prior to the Effective Date.

\*

CONTRACTOR agrees to terms of COMMISSION's OVERSIGHT of CONTRACTOR

## **MATERIALS IDENTIFICATION, OWNERSHIP, AND DISSEMINATION**

### **Public Acknowledgement of Funding**

CONTRACTOR is required to acknowledge COMMISSION funding by using COMMISSION's name and logo on all materials, publications, social media sites and posts, event materials, promotional information, and products that relate to Commission-funded programs, unless otherwise agreed to between CONTRACTOR at COMMISSION's sole discretion. CONTRACTOR shall comply with COMMISSION's guidelines related to the use of COMMISSION's name and logo as stated in "Grantee Style and Usage" section in the Manual.

### **Ownership**

All materials, records, manuals, curriculum, images, recorded video/audio and property, either provided to CONTRACTOR by the COMMISSION or otherwise related to the Services, are the property of the COMMISSION, unless otherwise negotiated. CONTRACTOR, at the COMMISSION's sole discretion, must turn over all materials to the COMMISSION at the expiration of the Term or earlier termination of this Agreement.

### **Intellectual Property**

Any work product developed by CONTRACTOR in performance of this Agreement shall be considered the work product of COMMISSION and upon termination of the Agreement, CONTRACTOR shall provide those materials to COMMISSION to the extent requested. In addition, it is the express intention of the parties that COMMISSION shall at all times be and shall remain the sole and exclusive owner of all rights of any kind whatsoever in and to the results and proceeds of COMMISSION'S and/or CONTRACTOR'S services hereunder (the "Results"). CONTRACTOR shall, however, retain any rights to materials used in the performance of this Agreement to the extent CONTRACTOR possessed, owned, or developed such materials prior to entering into this Agreement.

CONTRACTOR warrants that, to the best of its knowledge and control, the Results are and will be original with CONTRACTOR in all respects (except to the extent based on material supplied by COMMISSION), have not been and will not be exploited in any manner and/or medium, and do not or will not infringe upon the copyright, patent or any other right of any person or entity and properly attribute the use of any other sources from any person or

entity. CONTRACTOR agrees to execute any and all other documents consistent herewith, which may be required to effectuate the purpose and intent of this Agreement, and agrees that COMMISSION shall have the sole and exclusive right to register in its own name the copyrights and any other rights in and to the Results.

In addition, or alternatively, CONTRACTOR hereby irrevocably appoints COMMISSION as CONTRACTOR'S attorney-in-fact to take such actions and make, sign, execute, acknowledge, and deliver all such documents as may from time to time be necessary to convey to COMMISSION, its successors and assigns, all rights granted in this section. This provision is of the essence of this Agreement and shall survive termination of this Agreement.

\*

CONTRACTOR agrees to terms of MATERIALS IDENTIFICATION, OWNERSHIP, and DISSEMINATION

#### **FINGERPRINTING, CHILD ABUSE PREVENTION, and BREASTFEEDING FRIENDLY POLICY**

##### **Fingerprinting**

CONTRACTOR represents and warrants that all its employees, agents, volunteers, and subcontractors, who directly provide Services to children, are (and will be) fingerprinted according to state and federal law and have (and will have) a criminal clearance which states that they do not have a criminal history which would compromise the safety of children. Additionally, irrespective of any federal or state legal requirements, CONTRACTOR represents and warrants that any of its employees, agents, volunteers, or subcontractors who will or may have direct, unsupervised access to children in connection with the Services, are (and will be) fingerprinted and have the same criminal clearance described in the preceding sentence.

##### **Child Abuse Prevention**

CONTRACTOR represents and warrants that it will report all known or suspected instances of child abuse or neglect to either local law enforcement or county child welfare services consistent with state and federal law. CONTRACTOR further represents and warrants that each and every employee, agent, volunteer, or subcontractor who directly provides Services to children has received annual training regarding child abuse and neglect prevention and reporting and must sign a statement acknowledging that they understand the child abuse reporting laws and will comply with same.

\*

CONTRACTOR agrees to terms of FINGERPRINTING, CHILD ABUSE PREVENTION, & BREASTFEEDING POLICY

#### **INDEPENDENT CONTRACTOR**

##### **Status**

CONTRACTOR is an independent CONTRACTOR. All persons employed to furnish the Services are employees of CONTRACTOR and not of the COMMISSION. In performance of the Services, CONTRACTOR, including any and all of CONTRACTOR's owners, officers, agents, employees, and independent CONTRACTORS, will at all times be acting and performing as an independent CONTRACTOR, and will act in its independent capacity and not as an officer,

agent, servant, employee, joint venturer, partner, or associate of the COMMISSION. The COMMISSION has no right to control, supervise, or direct the manner or method by which CONTRACTOR performs its obligations under this Agreement. However, the COMMISSION may administer this Agreement so as to verify that CONTRACTOR is performing its obligations in accordance with the terms and conditions of this Agreement.

#### **Employer Duties**

CONTRACTOR has the sole obligation to provide its employees with all legally required notices and postings, as well as all employee wages and benefits, and will make all Social Security and other withholdings required by applicable federal or state laws and regulations.

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CONTRACTOR agrees to terms of INDEPENDENT CONTRACTOR section

#### **SUBCONTRACTORS**

##### **CONTRACTOR's Responsibility**

CONTRACTOR assumes full responsibility for the performance of the Services, whether or not directly provided by CONTRACTOR. CONTRACTOR is considered the sole point of contact regarding contractual matters, including payment of any and all charges resulting from this Agreement. CONTRACTOR is responsible to the COMMISSION for the full and proper performance of any subcontract. Any subcontractor is subject to the same terms and conditions to which CONTRACTOR is subject under this Agreement.

##### **Procedures for Subcontracting**

If CONTRACTOR desires to subcontract with one or more third parties to carry out a portion of the Services (e.g., subcontracting with consultants or partnering with another organization), any subcontract must (a) be in writing and approved as to form and content by the COMMISSION prior to execution and implementation; and (b) include a budget or fee schedule for the COMMISSION's review. The COMMISSION has the sole right to request and/or reject any proposed subcontract. Any subcontract, together with all other activities by or caused by CONTRACTOR, may not require compensation greater than the Contract Amount. CONTRACTOR must submit an executed copy of any subcontract and must receive a receipt confirmation from the COMMISSION before any implementation.

\*

CONTRACTOR agrees to terms of SUBCONTRACTORS section

#### **DEFENSE, INDEMNITY, and HOLD HARMLESS**

Each party shall indemnify, defend, protect, hold harmless, and release the other, its officers, agents, and employees, from and against any and all claims, loss, proceedings, damages, causes of action, liability, costs, or expense (including attorneys' fees and witness costs) arising from or in connection with, or caused by any act, omission, or negligence of such indemnifying party or its agents, employees, contractors, subcontractors, or invitees. This indemnification obligation shall not be limited in any way by any limitation on the amount or type of damages or compensation payable to or for the indemnifying party under workers' compensation acts, disability benefit acts, or other employee benefit acts. This indemnity provision survives the Agreement.

CONTRACTOR agrees to DEFENSE, INDEMNITY, and HOLD HARMLESS requirements

## INSURANCE

### Required Coverage.

On or before the Project Start Date, CONTRACTOR must furnish to the COMMISSION satisfactory proof of the required insurance (Certificates of Insurance), which must include a commitment by CONTRACTOR's insurers that they will mail notice of any cancellation or reduction of coverage below the amounts required by the COMMISSION, at least 30 days prior to the effective date of the cancellation or change. CONTRACTOR may not perform any work under this Agreement until CONTRACTOR has obtained all insurance required under this Section and the required certificates of insurance have been filed with and approved by the COMMISSION. CONTRACTOR must pay any deductibles and self-insured retentions under all required insurance policies. All insurance afforded by CONTRACTOR pursuant to this Agreement must be primary to and not contributing to any other insurance maintained by the COMMISSION. CONTRACTOR must have the following insurance, unless waived by COMMISSION:

**a. Commercial General Liability.** Comprehensive general liability coverage of at least \$1 million per occurrence, \$2 million annual aggregate. CONTRACTOR must list the COMMISSION as additional insured.

**b. Workers' Compensation.** Workers' Compensation Insurance in accordance with the California Labor Code.

**c. Automobile Liability.** Comprehensive automobile liability coverage with a combined single limit of at least \$1 million per accident for bodily injury and property damage on all vehicles operated under CONTRACTOR's authority, whether or not owned by CONTRACTOR. CONTRACTOR must list the COMMISSION as additional insured.

**d. Professional Liability (Errors and Omissions).** If CONTRACTOR employs or contracts with licensed professional staff in performing the Services, professional liability (errors and omissions) insurance with limits of at least \$1 million per occurrence, \$3 million annual aggregate.

**e. Fidelity Bond or Insurance.** In accordance with the Section titled TERMINATION below, or otherwise at the COMMISSION's request, a Fidelity Bond of at least \$1 million or insurance with limits of at least \$1 million, including coverage for theft or loss of COMMISSION property.

### Rating

All insurance must be issued by a company or companies listed in the current "Best's Key Rating Guide" publication with a minimum of a "B+;V" rating, or in special circumstances, be pre-approved by the COMMISSION.

### Endorsements

CONTRACTOR must obtain endorsements to the general liability and auto insurance policies, giving the COMMISSION an unrestricted 30-day prior written notice of cancellation or change in terms or coverage. CONTRACTOR must also obtain an endorsement to the workers' compensation policy giving the COMMISSION an unrestricted 10-day prior written notice of any cancellation or change in terms or coverage.

#### **Self-Insured**

If CONTRACTOR is, or becomes during the Term, self-insured or a member of a self-insurance pool, CONTRACTOR must provide coverage equivalent to the insurance coverage and endorsements required above. The COMMISSION will not accept this coverage unless the COMMISSION determines, in its sole discretion and by written acceptance, that the proposed coverage is equivalent to the above-required coverage.

#### **Liability and Other Actions**

Compliance with the insurance requirements discussed above will not relieve CONTRACTOR of any liability, whether within, outside, or in excess of such coverage, and regardless of solvency or insolvency of the insurer that issues the coverage; nor will it preclude COMMISSION from taking any other actions available to it under any other provision of this Agreement or otherwise in law.

#### **Failure to Maintain Insurance**

If CONTRACTOR fails to maintain the insurance required in this Section, the COMMISSION may terminate this Agreement and recover damages in accordance with **TERMINATION** Section below. Alternatively, the COMMISSION may, in its sole discretion, purchase the required insurance coverage and, without further notice to CONTRACTOR, the COMMISSION may deduct from sums due to CONTRACTOR any premiums and associated costs advanced or paid by the COMMISSION for the insurance. If the balance of monies obligated to CONTRACTOR pursuant to this Agreement is insufficient to reimburse the COMMISSION for the premiums and any associated costs, CONTRACTOR must reimburse the COMMISSION for the premiums and pay for all costs associated with the purchase of this insurance. Any failure by the COMMISSION to take this alternative action will not relieve CONTRACTOR of its obligation to obtain and maintain the insurance coverage required by this Agreement.

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CONTRACTOR agrees to INSURANCE requirements

#### **INDIVIDUALS HANDLING FUNDS**

No employee, agent, or independent CONTRACTOR of CONTRACTOR who has been convicted of a felony or against whom a civil judgment has been entered based upon misappropriation of funds or similar action may have authority or discretion over disbursements or withdrawals of funding provided to CONTRACTOR by the COMMISSION. All individuals having authority to disburse or withdraw funds received by CONTRACTOR from the COMMISSION must be bonded in the amount described in **INSURANCE** Section above, unless the COMMISSION, in its sole discretion, allows CONTRACTOR to provide proof of insurance covering employee dishonesty in accordance with this Agreement.

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CONTRACTOR agrees to INDIVIDUALS HANDLING FUNDS

## TERMINATION

### Non-Allocation of Funds

The terms of this Agreement, and the Services and funds to be provided, are contingent on the continued appropriation of funds to the COMMISSION by all federal, state, or local appropriating agencies. Should the COMMISSION not receive, or otherwise receive a reduction of, appropriated funds from any appropriating agency, the COMMISSION may, in its sole discretion, have the option to modify the scope of the Services, or terminate this Agreement at any time by giving CONTRACTOR 30 days prior written notice.

### Breach of Contract

The COMMISSION may immediately suspend or terminate this Agreement in whole or in part, where the COMMISSION, in its sole discretion, determines that CONTRACTOR has breached this Agreement. COMMISSION may determine that CONTRACTOR has breached this Agreement if it determines, in its sole discretion, that CONTRACTOR:

- a. Illegally or improperly used any funds procured directly or indirectly under this Agreement;
- b. Improperly performed any of the Services;
- c. Failed to begin performing the Services within 60 days of the Effective Date.
- d. Failed to comply with the Strategic Plan, the Manual, or any other COMMISSION policy, procedure, or requirement, as amended;
- e. Failed to submit, failed to timely submit, or inaccurately or incompletely submitted, any reports, data, information, documents, books, or other records required under this Agreement;
- f. Failed to maintain at all times the insurance required by this Agreement;
- g. Has a financial interest, direct or indirect, in contravention of Section 20 that is not disclosed to COMMISSION by the Effective Date or that conflicts in any manner with the performance of the Services;
- h. Used Additional Funds in violation of this Agreement;
- i. Failed to meet any deadlines specified in the Scope of Work (Exhibit A-1); or
- j. Failed to comply with any term of this Agreement.

### Without Cause

Under circumstances other than those set forth in **Breach of Contract** Section above, this Agreement may be terminated by either Party upon giving the other Party 30 days advance written notice of an intention to terminate.



### **Payment to CONTRACTOR and Remedies**

If this Agreement is terminated as provided above, the COMMISSION has no obligation to further compensate CONTRACTOR, except for Services satisfactorily performed prior to the date of termination. The COMMISSION may withhold payment of funds, or, if payment has been made, demand that CONTRACTOR repay any funds disbursed to CONTRACTOR under this Agreement, which in the judgment of the COMMISSION were not expended in accordance with the terms of this Agreement. CONTRACTOR must promptly refund any such funds upon demand, or at the COMMISSION's option, this repayment may be deducted from future payments owing to CONTRACTOR under this Agreement. In no event will any payment by the COMMISSION constitute a waiver by the COMMISSION of any breach of this Agreement or any default which may then exist on the part of CONTRACTOR.

Neither will any payment to CONTRACTOR impair or prejudice any remedy available to the COMMISSION with respect to any breach or default by CONTRACTOR. If CONTRACTOR breaches this Agreement, COMMISSION may recover from CONTRACTOR all remedies available at law. A waiver of any breach of this Agreement by the COMMISSION will not constitute a continuing waiver, a waiver of any subsequent breach of the same, or a waiver of any breach of another provision of this Agreement.

### **Surrender of Documentation and Equipment**

At the expiration of the Term or if this Agreement is terminated earlier, CONTRACTOR must, as required by the Manual, provide to the COMMISSION all equipment, files, memoranda, documents, correspondence, and other property generated during the course of performing the Services or purchased with funds procured directly or indirectly pursuant to this Agreement. The COMMISSION may, at its sole discretion, require CONTRACTOR to provide any equipment in good working order with the exception of reasonable wear and tear.

\*

CONTRACTOR agrees to TERMINATION terms

## **COMPLIANCE WITH LAWS**

### **All Contracts**

CONTRACTOR shall observe and comply with all applicable laws, ordinances, codes and regulations of governmental agencies, including federal, state, municipal and local governing bodies, having jurisdiction over the scope of services or any part hereof, including Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), all provisions of the Occupational Safety and Health Act of 1970 and all amendments thereto, and all applicable federal, state, municipal and local safety regulations. All services performed by CONTRACTOR must be in accordance with these laws, ordinances, codes and regulations.

CONTRACTOR shall indemnify and save COMMISSION and Sonoma County harmless from any and all liability, fines, penalties and consequences from any noncompliance or violations of such laws, ordinances, codes and regulations. A violation of such laws, ordinances, codes and regulations shall constitute a material breach of this Agreement and may serve as a basis for termination of this Agreement under Section Breach of Contract, (j.), and the initiation of appropriate legal proceedings by COMMISSION.

### **Contract with a Value of \$100,000 or More\***

By signing this Agreement, CONTRACTOR certifies, under penalty of perjury, that at the time of entering into this



Agreement all of the following are true:

- (a) That CONTRACTOR is in compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code).
- (b) That CONTRACTOR is in compliance with the California Fair Employment and Housing Act (Chapter 7 (commencing with Section 12960) of Part 2.8 of Division 3 of Title 2 of the Government Code).
- (c) (1) That any policy that CONTRACTOR has against any sovereign nation or peoples recognized by the government of the United States, including, but not limited to, the nation and people of Israel, is not used to discriminate in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the California Fair Employment and Housing Act (Chapter 7 (commencing with Section 12960) of Part 2.8 of Division 3 of Title 2 of the Government Code).
- (2) Any policy adopted by CONTRACTOR or actions taken thereunder that are reasonably necessary to comply with federal or state sanctions or laws affecting sovereign nations or their nationals shall not be construed as unlawful discrimination in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the California Fair Employment and Housing Act (Chapter 7 (commencing with Section 12960) of Part 2.8 of Division 3 of Title 2 of the Government Code).

**\*Not applicable to contracts with a value of less than \$100,000**

\*

CONTRACTOR agrees to COMPLIANCE WITH LAWS

## NOTICES

All notices required or permitted by this Agreement or applicable law must be in writing and may be delivered in person (by hand or by courier) or may be sent by regular, certified or registered mail, or U.S. Postal Service Express Mail, with postage prepaid, by facsimile transmission, or by electronic transmission (email) and will be deemed sufficiently given if served in a manner specified in this Section. The addresses and addressees noted below are that Party's designated address and addressee for delivery or mailing of notices. Any Party may, by written notice to the other, specify a different address for notice. Any notice sent by registered or certified mail, return receipt requested, will be deemed given on the date of delivery shown on the receipt card, or if no delivery date is shown, 3 days after the postmark date.

If sent by regular mail the notice will be deemed given 48 hours after it is addressed as required in this Section and mailed with postage prepaid. Notices delivered by United States Express Mail or overnight courier that guarantee next day delivery will be deemed given 24 hours after delivery to the Postal Service or courier. Notices transmitted by facsimile transmission or similar means (including email) will be deemed delivered upon telephone or similar confirmation of delivery (confirmation report from fax machine is sufficient), provided a copy is also delivered via personal delivery or mail. If notice is received after 4:30 p.m. or on a Saturday, Sunday or legal holiday it will be deemed received on the next business day.

To the COMMISSION:      Angie Dillon-Shore, Executive Director  
First 5 Sonoma County  
5340 Skylane Boulevard  
Santa Rosa, CA 95402  
Email: adillonshore@first5sonomacounty.org

**To CONTRACTOR: Name of Person to Address Notice\***

Kellie Noe

**Position Title of person to address notice\***

Program Development Manager

**Agency street address\***

PO Box 1539

**City, State, Zip code\***

Santa Rosa, CA 95402

**Fax#: Email address:\***

knoe@schsd.org

\*

CONTRACTOR agrees to NOTICES requirements

**NONDISCRIMINATION and EQUAL OPPORTUNITY**

CONTRACTOR must comply with all applicable laws providing equal employment opportunities. CONTRACTOR must not discriminate against any person on the grounds of race, color, creed, gender, gender identity, religion, marital status, registered domestic partner status, age, national origin or ancestry, physical or mental disability, medical condition including genetic characteristics, sexual orientation, pregnancy, citizenship status, military or veteran status, or any other characteristic made unlawful by federal, state, or local laws. These nondiscrimination and equal opportunity requirements apply, without limitation, to retirement, recruitment, advertising, hiring, layoff, termination, upgrading, demotion, transfer, rates of pay or other forms of compensation, use of facilities, and other terms and conditions of employment.

\*

CONTRACTOR agrees to NONDISCRIMINATION and EQUAL OPPORTUNITY

#### **CONFLICT OF INTEREST**

CONTRACTOR has read and understands the provisions of Sections 1090 *et seq.* and Sections 87100 *et seq.* of the Government Code relating to conflict of interest of public officers and employees. CONTRACTOR represents and warrants that, upon making diligent inquiry, it is unaware of any financial or economic interest, direct or indirect, not already disclosed to the COMMISSION by the Effective Date, or that conflicts in any manner with the performance of the Services. CONTRACTOR must comply with the requirements of Government Code Sections 1090 *et seq.* and Sections 87100 *et seq.*

\*

CONTRACTOR agrees to CONFLICT OF INTEREST

#### **LIMITATION OF LIABILITY**

The liabilities or obligations of COMMISSION with respect to its performance, non-performance or obligations pursuant to this Agreement shall be the liabilities or obligations of COMMISSION, and shall not become the liabilities or obligations of Sonoma County. CONTRACTOR shall not look to the County for satisfaction of obligations or liabilities.

\*

CONTRACTOR agrees to LIMITATION OF LIABILITY

#### **GENERAL**

##### **Non-Assignment and Binding Effect**

CONTRACTOR may not assign all or any part of this Agreement, or any obligations, interest, or any monies due or which become due under this Agreement without the prior written consent of the COMMISSION, which consent may be withheld in the COMMISSION's sole discretion. Subject to the preceding sentence, this Agreement is binding upon, and inures to the benefit of, the respective heirs, executors, administrators, successors, and assigns of the Parties.

##### **Entire Agreement**

This Agreement, including all exhibits, constitutes the entire agreement between the Parties regarding the Services and supersedes all prior and contemporaneous agreements, representations, and understandings of any nature whatsoever unless expressly included in this Agreement.

**Conflict with COMMISSION Policies**

Unless expressly stated otherwise in this Agreement, if there is any conflict with the terms of this Agreement and the terms of the Strategic Plan, the Manual, or other policies, procedures, or requirements of the COMMISSION, as amended, the terms of this Agreement prevail.

**No Authority to Bind COMMISSION**

CONTRACTOR, in its performance of the Services or any other duties under this Agreement, has no authority to bind the COMMISSION to any agreements or undertakings.

**Nonexclusive Agreement**

CONTRACTOR understands that this Agreement is not an exclusive agreement and that the COMMISSION, at its sole discretion, has the right to negotiate with and enter into contracts with others providing the same or similar services to the Services provided by CONTRACTOR.

**Modifications**

No waiver, alteration, modification, or termination of this Agreement is valid unless made in writing.

**Waiver**

No covenant or condition of this Agreement may be waived except by the written consent of the COMMISSION.

**Governing Law and Venue**

This Agreement will be governed by and construed in accordance with the laws of the State of California. The Parties agree that venue for any dispute or litigation arising under this Agreement will be in the County of Sonoma, State of California, if instituted in the State courts, or the Northern District of California, if instituted in the Federal courts.

**Remedies**

COMMISSION may pursue any and all remedies available by law as needed to enforce its rights under this Agreement.

**Partial Invalidity**

If any provision of this Agreement, or any portion of a provision, is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remaining provisions of this Agreement, including, without limitation, the portions of any provision not held to be invalid, void, or unenforceable, will nevertheless continue to be in full force and effect without being impaired or invalidated in any way.

**Compliance with Law**

CONTRACTOR must observe and comply with all applicable federal, state, and local laws, ordinances, rules, and regulations now in effect or enacted during the Term, each of which are incorporated into this Agreement by reference.

**Headings and Construction**

The subject headings of the sections and paragraphs of this Agreement are included for purposes of convenience only and do not affect the construction or interpretation of any of its provisions. All words used in this Agreement include the plural as well as the singular number, and vice versa; words used in this Agreement in the present tense include the future as well as the present; and words used in this Agreement in the masculine gender include the feminine and neuter genders, whenever the context so requires. No provision of this Agreement will be interpreted for or against a Party because that Party or its legal representative drafted the provision, and this

Agreement will be construed as if jointly prepared by the Parties.

#### **Time**

Time is of the essence in this Agreement.

#### **Non-Collusion Covenant**

CONTRACTOR represents and warrants that it has in no way entered into any contingent fee arrangement with any firm or person concerning the obtaining of this Agreement with the COMMISSION. CONTRACTOR has received from the COMMISSION no incentive or special payments, nor considerations not related to the provision of the Services.

#### **Costs and Expenses**

Each Party will pay all costs and expenses incurred, or to be incurred, by it in negotiating and preparing this Agreement and its exhibits, and in closing and carrying out the transactions contemplated by this Agreement, including, without limitation, its attorneys', paralegals', and other professionals' fees and costs.

#### **Signature Authority**

Each Party represents that it has capacity, full power, and authority to enter into and perform this Agreement, and the person signing this Agreement on behalf of each party has been properly authorized and empowered to enter into this Agreement. CONTRACTOR must sign the signatory authorization section incorporated into this Agreement. CONTRACTOR must complete and forward to the COMMISSION a new signatory authorization each time any name, title, or other information in the existing authorization is no longer current.

#### **Attorneys' Fees**

If an action at law or in equity is necessary to enforce or interpret the terms of this Agreement, the prevailing Party is entitled to reasonable attorneys', paralegals', and other professionals' fees and costs in addition to any other reasonable relief to which it may be entitled.

\*

CONTRACTOR agrees to GENERAL requirements

**First 5 Sonoma County Authorized Signatures\***

***First 5 Sonoma County Executive Director***

---

**Signature of authorized representative**



**Name of authorized representative\***

Angie Dillon-Shore

**Position Title\***

Executive Director

**Today's Date**

6/3/21

***First 5 Sonoma County Commission Chair or Vice Chair***

---

**Signature of authorized representative**

  
Jose Morales, MD (Jun 3, 2021 22:40 PDT)

**Name of Commissioner Chair, or Vice Commissioner\***

Dr. Jose Morales

**Position Title\***

Commission Vice Chair

**Today's Date**

06/03/2021

***County of Sonoma***

---

**Signature of authorized representative**

Angela Struckmann, Director, Human Services Department

Today's Date

***Approved as to Substance for Human Services Department***

---

**Signature of authorized representative**

Kellie Noe Digitally signed by Kellie  
Noe  
Date: 2021.06.02  
15:37:58 -07'00'

Kellie Noe, Program Development Manager

Today's Date

***Approved as to Form for County of Sonoma***

---

**Signature of authorized representative**

*Adam Radtke, Deputy*  
**Deputy County Counsel**

**Today's Date** June 1, 2021

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**EXHIBITS:**

- A. Project Summary**
- A-1. Scope of Work**
- B. Project Budget**
- B-1. Budget Narrative**

**Exhibit A. Project Summary**

**Primary Contact #1: Name**

Kellie Noe

**Primary Contact #1: Position Title**

Program Development Manager

**Primary Contact #1: Telephone Number**

707-565-5849

**Primary Contact #1: Email Address**

knoe@schsd.org

**Primary Contact #2: Name**

Norine Doherty

**Primary Contact #2: Position Title**

READY Manager

**Primary Contact #2: Telephone Number**

707-565-7186

**Primary Contact #2: Email Address**

ndoherty@schsd.org



**Scope of Work Contact: Name**

Holly White-Wolfe

**Scope of Work Contact: Position Title**

Upstream Investments Manager

**Scope of Work Contact: Telephone Number**

707-565-5836

**Scope of Work Contact: Email Address**

hwhitewolfe@schsd.org

**Data Entry Contact: Name**

Allison Carr

**Data Entry Contact: Position Title**

Administrative Aide

**Data Entry Contact: Telephone Number**

707-565-5134

**Data Entry Contact: Email Address**

alcarr@schsd.org

**Designated staff member to participate in RBA training: Name**

Norine Doherty

**Designated staff member to participate in RBA training: Position Title**

READY Manager

**Designated staff member to participate in RBA training: Telephone Number**  
707-565-7186

**Designated staff member to participate in RBA training: Email Address**  
ndoherty@schsd.org

**Progress Report frequency**  
Quarterly

**Authorized Signatories: Names/Position Titles**  
Angela Struckmann, Director

## Brief Project Summary

Upstream Investments staff and partners are committed to implementing a collective impact approach to improving community well-being through evidence-based interventions. A core element of achieving collective impact is bringing sectors together to establish shared measures. The Apricot database system provides a platform for data sharing across Upstream's partner organizations and County departments. Results- Based Accountability (RBA) provides an evidence-based process and tools to collaboratively develop shared outcomes, enhancing the functionality of the Apricot database system. Upstream Investments staff leverage Apricot to conduct community level evaluation, including the First 5 funded Road to Early Achievement and Development of Youth (READY) Project. Upstream Investments proposes to expand its evaluation efforts by integrating First 5 Sonoma County funded program data into the Apricot database system. This integration will use the RBA process to collaboratively identify shared outcomes with First 5 and their funded agencies. This expanded collaboration will provide a more robust data set for the evaluation of programs that serve children 0-5, their families and caregivers, enabling enhanced determination of First 5 funded program efficacy.

## FUNDING SOURCES

The parties acknowledge that total funding, including a minimum 10% in-kind or cash match to deliver this Scope of Work, includes: Please add total amount and source(s) of leveraged grant funds. (in the text box)

Title V-E (varies each year but 19,000 in FY21-22) Human Services Administrative funding (for in kind project support - 80,000 in FY21-22 )

#### **FUNDED PARTNER PERFORMANCE AGREEMENTS**

As a funded partner the following performance standards must be met:

1. Designated staff member attends an RBA training facilitated by Upstream in the first quarter of the funded period.
2. If designated RBA trained staff member leaves the organization, a replacement will be designated and agrees to attend an RBA training in the next available training session (no longer than six months after hire date or date staff member is designated RBA contact).
3. Identified Contacts listed above agree to complete the Funded Partners Policies and Procedures webinar upon completion of this contract agreement.
4. Any staff replacing positions assigned as contacts for this contract agreement agree to complete the Funded Partner Policies and Procedures webinar within three months of hire or re-assignment.
5. Designated contacts listed above agree to respond to any correspondence from First 5 staff within one week of contact.
6. First 5 Sonoma County is acknowledged as funder.

#### **Acknowledgement of First 5 Sonoma County as funder**

Please describe how and where First 5 Sonoma County will be acknowledged as funder. Include a description of how and where the First 5 Sonoma County logo will be use (marketing materials, social media platforms, etc.).

First 5 logos will appear on all evaluation reports. It will be added to Upstream Investments website where this project is described. We will also feature it in newsletters and Facebook posts.

### ***Exhibit A-1 (Project Scope of Work/Work Plan from proposal revised to 3 years)***

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#### **Exhibit A-1 Scope of Work-Work Plan\***

HSD\_READY Plus\_Exhibit A-1\_2122.docx

### ***Exhibit B and Exhibit B1 (Budget Information)***

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#### **Project Budget Upload\***

Please note your budget is on Sheet 1 one and the budget narrative on Sheet 2

Exhibit B.xls

## EXHIBIT A -1 A

### Evaluation Scope of Work

Project Title	Road to Early Achievement and Development of Youth (READY)
Project Summary	<p>The Road to the Early Achievement and Development of Youth (READY) is a school readiness capacity building and longitudinal evaluation initiative. READY collaborates with school districts to assess the social, emotional, and academic skills of entering kindergarten students and survey families. READY provides the only common assessment of kindergarten readiness in Sonoma County. These data are matched with family sociodemographic data in order to create a holistic picture of the protective and risk factors that contribute to a child's ability to succeed in school. To build community capacity to provide services that will have the most return on investment, READY data will be matched with partner organizations' service delivery outcome data. READY data is shared with children's preschool and transitional kindergarten/kindergarten teachers, school administrators, community partners, families and early-childhood programs to support children's success and inform quality improvement and coordination between birth-5 years of age and transitional kindergarten-12th grade systems.</p>
Desired Result and Indicator	<p>Result: All Sonoma County Children will be ready to succeed when they enter kindergarten. Indicator: Kindergarten Student Entrance Profile (KSEP) and Parent Survey Data.</p>

Core Activity	Timeline	Title of Person(s) Responsible	Performance Measures
1. Train teachers and school administrators on Kindergarten Student Entrance Profile (KSEP) administration & Results Based Accountability (RBA) Turn the Curve thinking	July-August annually	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Train teachers and administrators annually (Goal @ 40 staff)</li> </ul>
2. Provide education, technical assistance, and prioritized outreach to teachers, administrators, and early-care and education (ECE) system stakeholders to gain and sustain a commitment to utilization of a common kindergarten readiness tool.	Nov – Apr annually	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of new and continuing school districts using KSEP (Goal @ 8)</li> </ul>
3. Provide oversight, technical and administrative support, for all aspects of KSEP data collection, parent surveys, and incentive dissemination at school sites, including assistance for teachers on data entry in the Apricot database and READY data dissemination to families.	July – Oct annually	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Percentage of all kindergarten students in participating schools who participate in KSEP (Goal @ 95%)</li> <li>Percentage of parents who complete parent survey (Goal @ 70%)</li> <li>Percentage of teachers that reviewed KSEP data during parent-teacher conferences (Goal @ 40%)</li> </ul>
<p>4. Establish Student Information System (SIS) shared measurement agreements with READY school districts in First 5 investment areas to expand longitudinal evaluation to F5 funded programs:</p> <p>a) Conduct outreach and education regarding benefits of shared measurement initiative for school districts to: Healdsburg Unified School District; Windsor Unified School District; Cloverdale Unified School District, and; Sonoma Valley Unified School District</p> <p>b) Support coordination of customization of database</p> <p>c) Facilitate provision of technical assistance with Social Solutions Global (SSG)</p>	Jan-May annually	READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of READY school districts participating in a shared measurement agreement (Goal @ 3 new school districts)</li> </ul>

Core Activity	Timeline	Title of Person(s) Responsible	Performance Measures
d) Prepare data for export and otherwise manage the data and/or use of the cloud-based database software			
5. Collect and maintain detailed demographic data on population(s) assessed through the KSEP and Parent Survey data collection tools.	Ongoing	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of unduplicated counts of population(s) served to include (Goal @ 1,500 individuals reached):               <ul style="list-style-type: none"> <li>Number of children 0-5</li> <li>Number of parents</li> <li>Number of providers</li> <li>Race, Ethnicity &amp; primary language</li> <li>Special need status of children</li> </ul> </li> </ul>
6. Using statistical analysis software, conduct analysis of the available READY data to identify trends, gaps, barriers and facilitators to school readiness.	April 2022 April 2023 April 2024	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Overview of Statistical Package for Social Sciences (SPSS) Data Output generated for First 5 (Goal @ 3 data outputs)</li> </ul>
7. Establish relationships with F5 funded Family Resource Centers (FRCs) and conduct coordination and data management activities needed for READY, FRC & SIS system integrations: <ul style="list-style-type: none"> <li>a) Conduct outreach to FRC staff to establish working relationships</li> <li>b) Convene partners for system integration coordination meetings</li> </ul>	July 2021 – May 2022	READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of coordination meetings held with READY, Apricot &amp; FRC staff ( Goal @ 9)</li> </ul>

Core Activity	Timeline	Title of Person(s) Responsible	Performance Measures
8. Support integration of Apricot and FRCs: a) Support coordination of customization of database b) Facilitate provision of technical assistance c) Prepare data for export; and otherwise manage the data and/or use of the cloud-based database software	July 2021 – May 2022	READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of coordination meetings held with READY, Apricot &amp; FRC staff (Goal @ 9)</li> </ul>
9. Continue to provide quarterly Results Based Accountability (RBA) 101 trainings for general public, F5 staff and providers.	Quarterly, ongoing	Upstream Invest. (UI) Training Managers	<ul style="list-style-type: none"> <li>Number of RBA Trainings provided (Goal @ 12)</li> </ul>
10. Provide ongoing technical assistance with RBA framework implementation to F5, including: emails, ad hoc meetings/check-ins, etc.	Ongoing	Upstream Invest. (UI) Training Managers, READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of TA sessions provided (Goal @ 100% of F5 staff report feeling confident in implementing RBA)</li> </ul>
11. UI to conduct "train the trainer" for F5 staff to build staff capacity to conduct Turn the Curve (TTC) meetings with F5 providers	July 2021 – January 2022	Upstream Invest. (UI) Training Managers, READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of TTC Trainings conducted (Goal @ 100% of F5 staff report feeling confident in conducting TTC meetings)</li> </ul>
12. Support Performance Measures (PM) Development Meetings with F5 providers: a) Upstream Investments (UI) to schedule and deliver no more than 3 PM development meetings for F5 providers. Meetings to include all F5 providers together, with break out rooms with providers per Strategic Initiative	July 2021 – January 2022	Upstream Invest. (UI) Training Managers, READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of PM Development meetings conducted (Goal @ 3)</li> </ul>
13. Utilize READY and FRC data to support continuous quality improvement in First 5 funded programs. Continuous quality activities include:	Jan & July 2023 Jan & July 2024	Upstream Invest. (UI) Training Managers, READY Initiative	<ul style="list-style-type: none"> <li>Number of Turn the Curve meetings conducted (Goal @ 4)</li> <li>Number of F5 Evaluation meetings attended (Goal @ 90% of READY, UI)</li> </ul>

Core Activity	Timeline	Title of Person(s) Responsible	Performance Measures
a) Bi annually, convene local FRC staff together to review data and conduct action planning using RBA Turn the Curve model. b) Participate in F5 evaluation coordination meetings with Learning for Action (LFA)		Manager, UI Apricot Manager, Admin Aide	& F5 staff report feeling confident in overall evaluation efforts)
14. Conduct multiple variable analyses of additional data available with districts participating in SIS shared measurement agreements and served by FRCs, including data from AVANCE, Pasitos and other First 5 high priority investment programs.	June 2022 ( <i>timeline contingent on SIS agreements</i> ) June 2023 June 2024	READY Initiative Manager, UI Apricot Manager, Admin Aide	<ul style="list-style-type: none"> <li>Annual Summary Report developed (Goal @ 2 reports total <i>plus 1 contingent on timeline</i>)</li> </ul>
15. Utilize READY data to support continuous quality improvement in ECE settings: a) Participate in convenings of local QRIS coaches to review data and conduct action planning b) Participate in convenings of ECE providers and ECE site supervisors to review data and conduct action planning	July 2021- Feb 2024	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>Number of meetings participated in with ECE providers, Quality Counts coaches, site supervisors annually (Goal @ 2 annually)</li> </ul>
16. Acknowledge the funding and support received from Commission in all communications with the public about the project or program.	Ongoing	READY Manager, Admin Aide	<ul style="list-style-type: none"> <li>First 5 Sonoma County logo on all READY materials ( Goal @ 100% of READY materials include F5 logo)</li> </ul>



Core Activity	Timeline	Title of Person(s) Responsible	Performance Measures
17. Engage in sustainability-building activities, including but not limited to seeking non- Commission funding and publicizing outcomes through media communications and outreach to funders, Board of Supervisors, school administrators and other potential leveraging opportunities.	July 2021- June 2024	READY Initiative Manager, Admin Aide	<ul style="list-style-type: none"> <li>• Number of grants and/or other funding proposals submitted (Goal @ 2 proposals submitted)</li> </ul>
18. Develop and disseminate outreach materials regarding the importance of early learning activities in the home, community and pre-k programs and factors that support school readiness, ensuring that messaging is aligned with First 5 Sonoma County. a) Conduct presentations regarding the importance of ECE and factors that support school readiness.	July 2021 & ongoing	READY Initiative Manager, Admin Aide, HSD PIO	<ul style="list-style-type: none"> <li>• Goal @ 1 press release annually</li> <li>• Goal @ 5 presentations annually</li> </ul>

## **Exhibit A1 - B**

### **Data Management Plan for the First 5 Sonoma County's Use of the Apricot Database**

#### **I. Data Management Plan Description**

This data management plan is created to achieve the following purposes:

1. clarify roles for users of the Apricot Shared Measurement Outcomes Database
2. ensure security of the data
3. inform stakeholders of the costs to migrate data off of the current system
4. support Upstream's goal to facilitate shared measurement; and
5. improve services to individuals and families served by Human Services and partners.

#### **II. Project Description**

The County of Sonoma and First 5 of Sonoma County share the goal that all children 0-5 are healthy and developing optimally. In particular, both agencies share the goals that: early learning opportunities are diverse and high quality, parents and caregivers are resilient and nurturing, and systems of care are integrated and coordinated.

Sonoma County Board of Supervisors, Health, and Human Services representatives hold vital roles on the First 5 Commission. Linda Hopkins (District 5, Board of Supervisors), Nora Molanee-Brand (Manager, Health Services), and Oscar Chavez (Assistant Director, Human Services) serve as three of nine First 5 Commissioners.

Oscar Chavez leads the Upstream Investment Initiative, which was created by the Board of Supervisors in 2009 to encourage the implementation of programs that were effective in *preventing* societal issues and that increase opportunities for quality education, positive health outcomes and economic wellness for all. Seeing a direct alignment of goals between the First 5 Commission and the goals of the Upstream Investment Initiative, County offered to extend the use of the Apricot database to First 5. Use of the database began in 2016 as Upstream's in-kind contribution towards the Road to Early Achievement and Development of Youth (READY) initiative.

In 2021, First 5 of Sonoma County's use of the Apricot database will expand to include agencies funded through the First 5's Strategic Initiatives including: Early Relational Health, Neighborhood-

Based Services and Equity & Quality in Early Learning. Organizations funded within these initiatives will deploy a two-generation approach by authentically engaging parents as their children's first teacher and an important partner in early learning, in addition to supporting childcare providers of all types and languages to deliver culturally responsive care to young children and culturally responsive partnership with parents. Services will be delivered in high need neighborhoods identified by several sources of local data: including the Human Development Index represented in the Portrait of Sonoma, School Attendance Areas, the First 5 Sonoma County Equity Index and the READY Kindergarten Readiness Assessment data. These data sources illustrate the geographic areas in Sonoma County with the "highest opportunity" or need for additional resources and supports.

It is the goal of the First 5 Sonoma County Commission to ensure that our local early care and education sector has access to tools, resources and supports to build, sustain and enhance a diverse, culturally responsive, mixed-delivery system that meets the needs of working families. This requires a coordinated system of care that prioritizes the quality of adult-child interactions, both between early learning professionals and the children in their care, as well as parents and their children. It is clear that both the relationships *inside* and *outside* the family play a key role in children's child development and ideally, these relationships are fostered in partnership. Early learning professionals play a critical role, not only in the lives of the children in their care, but also in engaging and supporting parents/guardians in age-appropriate interactions with their children at home and in the community.

These goals directly align with Sonoma County's Framework for Action adopted by the Upstream Investments Policy Committee in 2018. Specifically:

#### Educational Attainment

- ☐ Support every child entering kindergarten to be ready to succeed.
- ☐ Promote the academic success of every child in and out of school.
- ☐ Support every young adult to prepare for and complete the highest level of education or training to achieve their career goals.

First 5 and the County of Sonoma Human Services Department (HSD) are entering into this Agreement to track participant outcomes through an on-line, cloud-based, case management database system called Apricot. HSD will customize Apricot to assist First 5 with three types of data collection: 1.) case management data, 2.) aggregate outcome data in support of the Results Based Accountability framework, and 3.) financial data related to child deposit accounts. HSD will also continue to support the READY initiative data collection including parent surveys and KSEP assessment data. The Agreement

outlines First 5's and HSD's funding obligations for the data system and commitment to abide by the agreed-upon "Data Management Plan" set forth herein. The Plan details the roles and responsibilities of the parties and how data will be gathered, stored, used, and presented in reports.

## **II. Terminology**

**Access and Allocation:** refers to users being assigned permission sets based on a "need to know" basis for case management. Supervisors and program managers will define permission levels.

**Analysis:** refers to the review and creation of reports. Reports developed in Apricot will be customized with input from system users, and will require further interpretation before data is used to direct program changes. All users with permissions to view the data as well as system administrators have the ability to create and/or review of reports within the Apricot database.

**Apricot:** is a database system offered by Social Solutions as "in the cloud" (on-line subscription based) software to store, share and report information about clients, programs, and service systems.

**Data management:** refers to activities to maintain an active license, hosting agreement, and data back-up agreement with Social Solutions (current owner of the Apricot cloud-based software); coordinate customization of database; coordinate trainings in how to use the system; facilitate the provision of technical assistance; prepare data for export; and otherwise manage the data and/or use of the cloud-based database software.

**Dissemination:** any public reports (verbal or written) sharing results of the evaluation.

**Evaluation:** refers to deeper analysis of the data, which may include exporting the data to SPSS or other statistical software to test for causation and correlation between various data points. Evaluations will be conducted by a City contracted evaluator.

**Interpretation:** report analysis and evaluation results will be reviewed by First 5 which will provide context to inform the data and determine appropriate audiences for sharing.

**Metadata:** or "data about data" details the means of the creation, purpose, time and date of creation, author, and other details about records and files.

**System Administrators:** Individuals who are responsible for the management and upkeep of a database. These individuals have complete access to the data and all forms, records, bulletins, queries and other elements of the database. In addition, these individuals may provide technical support for data imports and/or data analysis. (See Section X. Roles for details about the HSD staff and contracted individual who fulfill these roles.)

## **III. Data Description**

Data will be generated, collected, or reused for an array of purposes that may include:

- Client intake data including demographics, school status, risk factors, protective factors, substance use, and any known gang-related information
- Assessments (conducted by staff and self)
- Case management notes
- Individual development plans
- Activity logs
- Referrals and referral tracking logs
- Consent forms
- Program status at closure
- Service provided in high need areas of Sonoma County identified by READY data and the First 5 Equity Index

The need for this new data set arises from First 5's desire to track outcomes for the First 5 Strategic Initiatives. Data collected into the Apricot database is unique and dynamic data specific to the participants engaged in programs funded by First 5.

Other data sets will help support the interpretation of the data:

- Student Information System (SIS) data from participating schools (e.g. Santa Rosa City Schools and Guerneville School District) will be used for evaluation purposes to substantiate changes in school attendance and performance. Upstream Investment staff supporting First 5 evaluation work will correlate SIS data First 5 Strategic Initiative's program performance and outcome data whenever possible.

#### **IV. Data Format**

All data formats, standards, and conventions are outlined in the Apricot users guides developed by Sidekick Solutions (a County contracted consultant), and will be updated periodically as needed.

#### **V. Metadata**

Metadata or "data about data," including the means of the creation, purpose, time and date of creation, author, and other details about records and files, is automatically generated by the Apricot software.

Reports list "created by, last modified by, and last run by" metadata showing the full username date and time.

Users can view the "record history" for each record which states the username, form name, ID #, action (e.g. created, edited, saved with no changes), time and date for every instance a record is accessed.

#### **VI. Data Organization**

The County's HSD is responsible for managing the database during the Project including overseeing contracts with: 1.) Social Solutions Global for the hosting, license, subscription, and back-up of the Apricot database, and 2.) Sidekick Solutions for the development/customization of the system and protocols for use.

HSD contracts with Sidekick Solutions for customization and optimization of the Apricot database with input from City staff and other system users. First 5 provides HSD and Sidekick Solutions with all documents to be converted into database fields and forms, and participates in regular meetings throughout the three-year term to continue efforts to refine the database and to ensure data quality.

Sidekick Solutions will update user guides to ensure HSD, First 5, and all partner service providers are provided with a manual describing how to use the customized Apricot database for First 5 Strategic Initiatives case management purposes or in order to enter quarterly data related to Results Based Accountability Performance Measure Tracking.

Social Solutions Global will communicate with HSD when new versions of Apricot are released. If new versions affect the customized GPS case management process developed by Sidekick Solutions, HSD will utilize the technical assistance provision offered through the Apricot software subscription and Sidekick Solutions contract to resolve any conflicts.

## **VII. Quality Assurance**

HSD will design procedures for ensuring data quality during the Project. Specifically, First 5 and nonprofit partner staff will undergo training in the case management procedures and workflow before utilizing the customized Apricot database. In addition, HSD will lead First 5 in periodic reviews of reports to identify data collection improvement opportunities.

## **VIII. Storage and Backup**

Specific storage methods and backup procedures for the data, including the facilities that will be used for the effective preservation and storage of the data are included in the County's contract with Social Solutions Global the database software development corporation. The contract includes the backup schedule and process, responsibility and sensitivity levels.

## **IX. Security**

Sonoma County Human Services is responsible for the security of the database. HSD ensures the security of the database through the following technical and procedural protections for information, including confidential information, and how permissions, restrictions, and embargoes will be enforced.

The County's license for the Apricot currently allows for five (5) administrators. HSD staff and a contracted consultant with Sidekick Solutions fulfill the administrator roles. Administrators have full access to all records, forms, and data within the system, and maintain the authority to manage the record level access for all other system users. This database holds program data for programs beyond the GPS program, and the HSD will retain administrator rights over all programs.

Apricot allows Administrators to restrict access for certain users or certain groups of users so they can only view or create records and forms. First 5 staff will provide HSD with a written list of users and their permission levels for the First 5 Strategic Initiatives. HSD will then set permissions in the Apricot system. HSD can support as many as 20 users (with two additional slots for the Upstream PPEA and Administrative Aide supporting this work) including First 5 project managers and case managers/supervisors from service provider agencies with MOU's with First 5.

Users are given a unique profile and password to access the system. It is important that users never share these credentials for use by other team members, as metadata will track all activity of the user that is logged in.

## **X. Responsibilities**

Roles and responsibilities of the owners and stakeholders of the data, including names of the individuals responsible for data management, analysis, interpretation and dissemination in the research project follow:

### ***A. County HSD Staff Representing the Upstream Investment Initiative:***

1. Dedicate staff time and funding to procure, contract, and implement the Apricot database software.
2. Finance the Apricot software license from July 1, 2021 – June 30, 2024.
3. Work with First 5 to develop customization requirements for projects funded by First 5 Strategic Initiatives project.
4. Provide administration of database for sharing data among project evaluators and service providers with a MOU with First 5 to implement First 5 Strategic Initiative programming.
5. Dedicate staff time and funding to procure, contract, and liaison with consultant(s) in developing the custom configuration and training of the Apricot database system for the FIRST 5 Strategic Initiatives.
6. Provide (via contracted consultant and or Upstream Staff) annual end user training for all service providers with a MOU with First 5 to implement First 5 Strategic Initiative programming.
7. Work with First 5 to develop aggregate reports in Apricot void of personal identifying data and de-identified data to be used for Results-Based Accountability progress reports and/or summary report needs of the First 5 Commission and other stakeholders or funders.
8. Serve as system administrators using full access to the database to manage its upkeep and to control user access. (System administration is a role extended to HSD's contracted consultant Sidekick Solutions. See Section E for further details.)
9. Handle any security, data breach, loss or theft of data and implement a remediation plan.
10. Provide quarterly exports of performance measure data for use by First 5 staff to populate a Clear Impact Scorecard or other platform to track indicator and performance measure data.
11. HSD staff will also provide an evaluation of some of the data collected (e.g. data to evaluate school readiness) as outlined in Exhibit A1-A.

***B. First 5 Staff***

1. Administer the First 5 Strategic Initiatives programs, including case supervision via the Apricot database software.
2. As the lead agency in charge of fiscal and administrative oversight of the First 5 Strategic Initiatives, use data to guide program oversight, development, refinement, implementation and sustainability.
3. Work with HSD and HSD contracted consultant(s) to develop aggregate reports void of identifying data.
4. Use de-identified data for Results Based Accountability progress reports and/or summary report needs as dictated by the First 5 Commission and nonprofit program stakeholders.
5. Presenting to the Upstream Investments Policy Committee 1-3 times during the Term.
6. Partnering with Upstream staff to share successes and opportunities for improvement.
7. Participating in Results Based Accountability learning community sessions, which may be scheduled up to two times per year.
8. Participating in the Shared Measurement Workgroup, which may be scheduled up to two times per year.
9. Contributing to Apricot system refinement sessions/ system discovery and blue print sessions as needed.
10. Participating in Apricot system assessments or other continuous improvement activities annually.
11. Contributing to the development of an Upstream Shared Measurement summary report at the end of the Term by providing content or editing services.

***C. First 5's Service Providers for 2021-2024***

Service Providers with Memorandums of Understanding on file with First 5 include agencies such those listed below, but not limited to:

- a) La Luz
- b) Community Action Partnership (Via Esperanza)
- c) Corazon
- d) Redwood Community Health Coalition

Service provider responsibilities for agencies offering case management include:



1. collecting consent forms,
2. providing case management,
3. inputting all case management forms and notes into Apricot,
4. giving input to data access and allocation (data sharing),
5. sending case managers and supervisors who will use the Apricot system to participate in Apricot user trainings (a minimum of one representative per contracted service provider agency must attend the user trainings),
6. providing suggestions for customization,
7. coordinating with HSD for technical assistance requests,
8. updating HSD with any staff changes that affect user roles in the Apricot system,
9. participating in Results Based Accountability trainings offered through Upstream Investments, and
10. participating in “Turn the Curve” sessions where Upstream and First 5 staff review performance measure data in relationship to population indicator data.

Service provider responsibilities for agencies reporting on Results Based Accountability include:

1. entering aggregate data quarterly and annually into the Apricot system,
2. coordinating with HSD for technical assistance requests,
3. updating HSD with any staff changes that affect user roles in the Apricot system,
4. participating in Results Based Accountability trainings offered through Upstream Investments, and
5. participating in “Turn the Curve” sessions where Upstream and First 5 staff review performance measure data in relationship to population indicator data.

***D. HSD’s Contracted System Customization professionals (Sidekick Solutions):***

As detailed further in the contract agreement between the County of Sonoma and the System Customization Professionals and referenced in Exhibit A1-C of this document, summarized responsibilities include:

1. Serving as system administrators using full access to the database to design and customize the database, manage its upkeep, and provide technical assistance to database users.

***E. HSD’s Contracted Apricot Software Provider (Social Solutions):***

As detailed in the contract with the County, responsibilities include:

1. Providing access to the cloud-based software and host all data on servers as detailed in the County’s contract with Social Solutions Global. Serving as system host utilizing full access to the database to provide technical assistance as needed.

2. Social Solutions, through the Ballmer grant initiative, will provide access to the Apricot system at a reduced rate in exchange for access to de-identified, aggregate level data. This data is used to demonstrate how shared measurement systems and data sharing improve the effectiveness of collective impact work related to national Cradle to Career outcomes.

## **XI. Budget and Sustainability**

The costs of preparing the database, creating documentation, and archiving -including staff time, consultant fees, and software fees- are paid by HSD through June 30, 2025.

	<b>FY21-22</b>	<b>FY22-23</b>	<b>FY23-24</b>	<b>Total</b>
Users	22	22	22	
Customization Hours	265	160	160	
Staff Time Allocation	30%	30%	30%	
User Costs	\$8,866.14	\$9,087.74	\$9,315.04	\$27,268.92
Hours Costs	\$46,375.00	\$28,000.00	\$28,000.00	\$102,375.00
Staff Time Costs	\$71,082.00	\$72,859.05	\$74,680.53	\$218,621.58
<b>TOTAL</b>	<b>\$126,323.14</b>	<b>\$109,946.79</b>	<b>\$111,995.57</b>	<b>\$348,265.50</b>

(Note staff time reflects a portion of a half time Analyst and a full time Administrative Aide.)

First 5 and HSD intend to negotiate plans for sustaining the database beyond June 30, 2024.

Should First 5 decide to purchase an independent license and subscription, First 5 must solicit a unique, formal proposal from Social Solutions to calculate the costs of their own license and subscription. In addition, migrating the data from the HSD license to an independent license will also require the hiring of a consultant or purchase of support from Social Solutions. Migration includes the creating or copying following:

- All Forms - Could be done with template copies between databases
- All Data - Could be done using exports and imports of all records and links (1-to-1)
- All Reports - These would need to be custom built in the new database
- All User Groups and Permissions - These would need to be custom built in the new database
- All Secure Web Forms - These would need to be custom built in the new database
- All Bulletins - All report, shortcut, and announcement bulletins would need to be custom built in the new database

- All Record Level Access Permissions - All record level access permissions would need to be assigned either during import or manually post-import

## **XII. Intellectual Property Rights**

The County retains the intellectual property rights to the data as the owner of the Apricot license. Fair use is extended to First 5, which may, at a future date, opt to migrate the data, forms, reports, user groups, web forms, bulletins, and record level access permissions to its own license with Apricot.

The County's contract for the Apricot data system details the contractor's explicit copyright declarations for the enterprise level database system.

## **XIV. Access and allocation**

First 5's contracted LFA evaluator and Upstream Staff (as detailed in Exhibit insert of this document) will analyze the data and suggest specific data points for consideration, interpretation, and potential report inclusion. First 5 will give final approval for sharing with the greater community.

## **XV. Audience**

Primary users of the analyzed data will include First 5 of Sonoma County, schools, and partner non-profits. The data analysis informs program planning and continuous quality improvement during the provision of the FIRST 5 Strategic Initiatives.

Human Services may also use the data to conduct a meta-analysis of the Apricot system performance, to assess the efficacy of client outcomes and to test the coordination of referrals across systems.

De-identified, aggregate data may be shared upon request with community groups, parents, or other stakeholders with the approval of First 5 Sonoma County. Once reports are approved by the First 5 Commission, HSD is free to share excerpts from the report including de-identified, aggregate data, with community groups, parents, or other stakeholders.

## **XVI. Selection and Retention Periods**

Upon notice from First 5, HSD will promptly destroy or wipe all confidential client data from all electronic storage media and devices in a manner that prevents recovery of any and all confidential client data once the data is no longer needed to implement, review, or refine the FIRST 5 Strategic Initiatives. First 5 will notify HSD when it is time to discard the data.

## **XVII. Archiving and Preservation**

HSD will ensure procedures are in place for long-term archiving and preservation of the data, secure disposal of data, and backups.

The County's contract with the Apricot database system owner includes the provisions of extensive data "back-ups" (or saving to alternate servers) through June 30, 2025. The periodic export of data by HSD before subscription end period of June 30, 2025 will further ensure the protection of the data.

### **XVIII. Ethics and privacy**

Informed consent will be handled and privacy will be protected in the following ways:

The Memoranda of Understandings between First 5 and service providers will include confidentiality provisions and intake processes that ensure an "Authorization for Release of Information and Records" is obtained from participants and their parent/guardians (as applicable). This information is documented in the Apricot system.

HSD, First 5, and all contracted parties or parties with an MOU are required to protect from unauthorized disclosure names and other identifying information concerning persons receiving services pursuant to this Project, except for statistical information that does not identify any participant. These parties are obligated not to use such information for any purpose not directly connected with the administration of the services provided by the First 5 Strategic Initiatives. In addition, they must promptly transmit to First 5 all requests for disclosure of such information not emanating from the participant. No party shall disclose, except as otherwise specifically authorized by the participant, any such information to anyone. For purposes of this Data Management Plan, personal identity shall include, but not be limited to, name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or photograph.

No party will publish, disclose or use or permit or cause to be published, disclosed or used any confidential information pertaining to a participant.

First 5 (responsible for all First 5 Strategic Initiatives program staff and contracted partners) and HSD Services (responsible for project personnel maintaining the on-line database) maintain confidentiality through the following practices:

- The original copy of the data (which may be shared on a physical device such as a flash drive) or any hard copy printout of the data must be stored in a locked drawer or file cabinet while not being referenced by evaluators, case managers or other appropriate staff. Printed information that is no longer needed will be destroyed. Printouts of data are not to be distributed to anyone outside of project personnel.
- All records will be destroyed when the information is no longer needed for the purposes of this Project.
- Organizational or institutional penalties for the misuse of confidential data and breach of confidentiality by staff exist, are available in writing, and are enforced.
- Specific sanctions for confidentiality violation can be imposed that include employee disciplinary action and any of the following: remedial training in confidentiality, loss of certification of

competency in confidentiality, prohibition from future work with confidential data at the institution, discharge

- Users of the Apricot database are authenticated by means of passwords or digital ID.
- Access to the Apricot database is controlled by means of role-based authentication/access. Additionally, access to data files are restricted to specific project staff and access by non-project staff is not permitted. Access privileges are determined by First 5, and implemented by HSD.
- There is an audit trail within the Apricot software that documents who, when, and for what purpose data is accessed.
- All First 5 Strategic Initiatives participants and/or families sign authorizations for release of information and records complying with all applicable state and federal privacy laws explaining the use of participant data.

First 5 of Sonoma County and HSD are responsible for extending these ethics and privacy policies to any contracted agents or service providers with MOU's who use the Apricot database system.

### **XIX. Electronic Confidentiality**

In addition, HSD, First 5, and all contracted parties/parties with a MOU with First 5 associated with the First 5 Strategic Initiatives are responsible for ensuring that electronic media containing confidential and sensitive client data are protected from unauthorized access.

First 5 (responsible for all FIRST 5 STRATEGIC INITIATIVES project staff and contracted partners) and HSD (responsible for project personnel maintaining the on-line database) must ensure that all computer workstations, laptops, tablets, smart-phones and other devices used to store and transmit confidential client data and information are:

- Physically located in areas not freely accessible to or in open view of persons not authorized to have access to confidential data and information,
- Protected by unique secure passwords, and
- Configured to automatically lock or timeout after no more than 30 minutes of inactivity.

Users of such computing devices are trained to log off or lock their devices before leaving them unattended or when done with a session.

First 5 of Sonoma County (responsible for all First 5 staff and contracted partners) and Sonoma County Human Services (responsible for project personnel maintaining the on-line database) shall ensure all electronic transmission of confidential client data sent outside a secure private network or secure electronic device via email, either in the body of the email or in an attachment, or sent by other file transfer methods is sent via an encrypted method.

Once notified by First 5 of Sonoma County that the data is no longer needed, Sonoma County Human Services will destroy or wipe all confidential client data from all electronic storage media and devices in a manner that prevents recovery of any and all confidential client data.

### **XX. Dissemination**

HSD may use or share aggregates of these First 5 Strategic Initiatives, *with all identifiers removed* with the Upstream Investments Policy Committee, Santa Rosa City School District, Guerneville School District, Forestville Unified School District, West County High School District, Sonoma County Board of Supervisors, and other local collaborative groups when deemed important and relevant for grant reporting, directing and developing resources, refining existing programs, and encouraging county-wide collaborations and linkages, and documenting collective impact. First 5 shall exercise control over what and when data are shared, and prior consent from First 5 is required for any such disclosure with the exception of data that is shared through Social Solutions and the Ballmer Initiative for aggregating school related outcomes at the national level

## **XXI. Data or Security Breach**

Any security, data breach, loss or theft gets reported to [HSD-IT@schsd.org](mailto:HSD-IT@schsd.org), 707-565-5867 option #1. The process for addressing the incident includes:

- a. HSD IT Helpdesk will formally log the call;
- b. HSD IT will contact and notify interested parties (State, Fed, County, HSD Executive Management, etc.) along with HSD-IT Management; and
- c. HSD-IT Management will review incident and implement a remediation plan.

## **Exhibit A-1 C: Apricot Customization Scope of Work**

### **Project Overview**

Upstream and its customization consultant will work with First 5 Sonoma County to track outcomes in Apricot 360. In order to integrate First 5 Sonoma County into the HSD Apricot 360 platform, this project will require major data migration or substantial integration requirements. The project will consist of new partner configuration, testing, and deployment. Each new partner configuration will require planning, design, implementation, technical assistance, data migration, and integration services, along with technical project management. Upstream staff and consultants will provide guidance and share best practices to configure software.

### **Scope of Work: New partner configuration**

This scope of work will develop the following capabilities in the Sonoma County HSD Apricot 360 shared data platform:

1. case management tracking for programs funded by First 5 Sonoma County such as Family Resource Centers;
2. outcome tracking using the Results Based Accountability framework and aggregate data collection on a quarterly basis for First 5 Sonoma County partner tracking; and
3. financial data tracking for child savings accounts including incentive deposits for program participation

### **Implementation Services:**

1. Project management for up to twenty-six (26) weeks
  - a. 6 weeks - Discovery and specifications
  - b. 8 weeks - Configuration and testing
  - c. 6 weeks - Data migration and user onboarding
  - d. 6 weeks - Initial deployment technical assistance
2. Discovery and specifications ("spec")
  - a. Complete project kick-off sequence
    - i. Schedule and facilitate up to two (2) sixty (60) minute meetings
    - ii. Develop and confirm project work plan, key milestones, and project timeline
    - iii. Define project communication plan and identify stakeholders
    - iv. Prompt client resource activation and discovery materials gathering
  - b. Collect, review, and inventory all client submitted materials up to thirty (30) documents of no more than three (3) pages each, including:
    - i. Project priorities list
    - ii. Project brief and program workflow descriptions
    - iii. User roles summary
    - iv. Data collection forms, trackers, and tools
    - v. Logic our outcomes models, theory of change
    - vi. Compliance requirements summary

- vii. Report templates
- c. Schedule and facilitate up to ten (10) ninety (90) minute discovery sessions to interview project stakeholders within the following sites/departments/programs/operations:
  - i. FRC funded partner overview and community service model
  - ii. First 5 FRC SOW measures
  - iii. FRC collaboration among partners
  - iv. Child savings account mechanics; seed amounts, incentive deposits, and match deposits
  - v. First 5 other partner SOW measures: core and aggregate for RBA model
  - vi. Overview of evaluation priorities, reporting requirements, and external data sources and proposed data enrichment (if any)
  - vii. Referral models between funded partners
  - viii. User access and provisioning requirements: Sites/Programs/Roles
  - ix. +2 sessions for spillover
- d. Manage a backlog system of open questions, feedback, and topics to resolve during discovery phase
- e. Draft spec documentation based on outcomes of discovery sessions and review of client submitted materials
  - i. Data model schematic (Entity Relationship Diagram, ERD)
  - ii. Reporting requirements blueprint of up to 50 data elements
  - iii. Site/program/permission (user role) blueprint
  - iv. User experience diagrams (UX) by role (as needed to illustrate or validate key design assumptions)
  - v. System blueprint including design specifications for forms, fields, form logic, queries, and links
- f. Validate spec documentation and system blueprint using the following methods:
  - i. Reporting requirements blueprint
  - ii. Peer review
- g. Provide design assumptions in summary form for client sign off
- 3. Configuration and testing
  - a. Complete pre-build sequence to prepare production site for configuration
  - b. Configure solution based on the following specifications:
    - i. Up to 20 forms (70 fields each, and up to 10 form logic conditions) for data entry and workflow
      - 1. One form is equivalent to one data entry record in Apricot. Forms generally correlate to existing data collection forms (if paper or some other data management system) in a 1-to-1 format. One paper form will generally translate into one Apricot form.
        - a. Family Profile
        - b. Participant Profile (demographics, facesheet)
          - i. Intake and consents
          - ii. Enrollment and exit



- iii. Service activity/encounter
    - iv. Follow-up tracking
    - v. Screening and assessment log
    - vi. Referral log
    - vii. Document upload
    - viii. Attendance
  - c. Organization/Provider Profile
    - i. Aggregate number submission
    - ii. Quarterly narrative submission
    - iii. Invoice submission
    - iv. Employee
    - v. Contract
    - vi. Scope of work measure
  - d. Surveys
  - e. Cohort/group/session
    - i. Support documentation
  - f. Event
  - g. Service types
- ii. Up to 15 sites (programs) / 20 programs / 5 (roles) for user access
- iii. Up to 3 bulletins:
  - 1. Shortcuts
  - 2. Active status dashboard/caseload
  - 3. Performance outcomes (key metrics)
- iv. Configure registration grid for classes/workshops
- v. Up to twenty (20) sections of native reports, to include initial frameworks for Quality Assurance, Workflow, Performance, and Supervision reporting
- vi. Configure Schedule for Participant Profile T1
- vii. Configure Connect for eConsent and associated direct messaging workflows
- c. Draft user acceptance testing (UAT) plan based on configured solution
- d. Facilitate two (2) rounds of user acceptance testing, each two (2) weeks in length with the first round for primary project stakeholders and the second round for end users , including:
  - i. Provision temporary testing permissions for project stakeholders
  - ii. Support navigation of use cases identified in UAT plan with up to four (4) ninety (90) minute walkthrough/Q&A sessions
  - iii. Provide access to user feedback form and change log tools for testing collaboration
  - iv. Resolve up to fifty (50) testing tickets and build a backlog of post-go-live topics for internal Apricot administrators
- e. Complete data migration with the following specifications:
  - i. Schedule and facilitate four (4) ninety (90) minute data migration discovery and blueprint meetings
  - ii. Draft a data migration blueprint and mapping document

- iii. Provide data migration blueprint and associated assumptions for client sign off
- iv. Up to twenty (20) hours dedicated to data migration
- v. Up to ten (10) data files from the legacy (source) platform in CSV format
  - 1. Primary entity objects
  - 2. Enrollment objects
  - 3. Service objects
  - 4. +5 supplemental objects and linking files
- vi. Up to five (5) target forms in Apricot
- vii. Up to ten (10) file imports into Apricot
- viii. Develop a data migration quality assurance report with sections totaling the number of forms included in the data migration scope of work
- ix. Schedule and facilitate one (1) 90-minute quality assurance walkthrough meeting to begin client review of data migration outcomes
- x. Assumptions:
  - 1. One (1) data file for import as part of a data migration is assumed not to exceed 20,000 rows and 100 columns of data
  - 2. Data files for import are to be submitted in CSV format, one object per file; SSG is not responsible for producing data files from the legacy (source) solution or mapping those files into the Apricot import templates
  - 3. Data migration services do not include data cleanup, formatting, or reconciling related to data quality issues in your source data or structural differences between your source data and target data requirements in Apricot. Data cleanup, formatting, and reconciling are scope of work additions in a data migration project. Minor data cleanup is allowed to map source data to the target import templates, but does not include major data changes like record splitting, record merging, record deduplication, field splitting, or field merging among other major data cleanup tasks. Data cleanup can be provided as a change order to the scope of work.
  - 4. Acceptance must be given first on the blueprint prior to data migration and then acceptance must be given following completion of the data migration import as part of verification of import accuracy.
  - 5. Corrections to data migration outcomes will only be provided if the data migration does not align with the data migration blueprint as signed off prior to data migration. Undocumented or additional corrections beyond

the scope of the data migration blueprint require a change order.

4. Deployment and Technical Assistance
  - a. Develop go-live deployment plan in collaboration with client
  - b. Draft one custom user guide for end user navigation and use cases (does not include use cases for system administration)
  - c. Schedule and facilitate 2x90-minute user Q&A sessions (one for each program)
  - d. Provide pre and post-go-live technical assistance in support of user onboarding (assuming approximately 10-20 users per program)

**Technical Assistance Services:**

5. Support for updates and refinement
  - a. Conducting data management assessments to define current status and future expectations
  - b. Gathering user and administrator feedback via user interviews and feedback forms
  - c. Conducting discovery meetings and aggregate desired changes from users and administrators
  - d. Developing action plan for requested changes including a blueprint, rationale for changes, and possible alternatives
  - e. Making changes, updates, and modifications to database structure as approved, including data migrations as needed
  - f. Drafting training materials (user guides) and conducting training sessions (webinars)
  - g. Completing other Apricot database administrator tasks as needed and requested
6. Report design and development
  - a. Completing discovery of required reports and build blueprint (may use existing report lists as a baseline)
  - b. Building new reports or modifying and updating existing reports in as many sections in the Apricot native reports and Apricot Results reports
  - c. Completing review and testing phase for all reports, and make modifications as needed
  - d. Converting reports to dashboards on Apricot bulletins page as needed
  - e. Drafting report documentation and data dictionaries for definitions on all outputs
7. Systems assessment, evaluation, and preparation
  - a. Evaluation
    - i. Drafting blueprint documentation of the existing Apricot database structure, including Entity-Relationship diagrams of current systems
    - ii. Mapping Apricot features and functions including permission sets, workflows, reports and dashboards, creating a profile of the existing platform across all departments and programs
  - b. Assessment
    - i. Interviewing users and gathering feedback on user experience

- ii. Conducting requirements gathering procedures to understand current status and future needs, build needs analysis for transition to new phases
- c. Preparation
  - i. Providing recommendations on next steps and coordinating with stakeholders to ensure clear communication and accurate information for decision making
  - ii. Proposing alternatives and solutions as needed for next steps in shared measurement projects
  - iii. Offering technical assistance, consulting, and advising on the evaluation, assessment, and potential next steps

### **Time and Budget Summary:**

Upstream and the customization consultant will provide monthly time details to account for time spent according to the following summary plan:

- FY21-22
  - Implementation (see scope above): 165 hours
    - ♣ Discovery and Specification
    - ♣ Configuration and Testing
    - ♣ Data migration (light)
    - ♣ Deployment and Technical Assistance
  - Technical assistance: 60 hours
- FY 22-23
  - Technical assistance: 120 hours
- FY 23-24
  - Technical assistance: 120 hours

# EXHIBIT B

Organization:

Sonoma County Human Services Department

Program Title:

Road to Early Achievement and Development of Youth (READY) + Shared Measurement Project

## MULTI-YEAR BUDGET - First 5 Sonoma County Request

PERSONNEL		FTE	Full-time salary	FY 21-22	FY 22-23	FY 23-24	TOTAL MULTI-YEAR
Job Title							
1.	READY staff	0.87	\$164,000.00	\$142,000.00	\$142,000.00	\$142,000.00	\$426,000.00
2.	Apricot staff	0.47	\$149,855.00	\$71,082.00	\$72,859.00	\$74,681.00	\$218,622.00
3.				\$0.00	\$0.00	\$0.00	\$0.00
4.				\$0.00	\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
Subtotal Salaries				\$213,082.00	\$214,859.00	\$216,681.00	\$644,622.00
10.	Benefits						\$0.00
Total Personnel				\$213,082.00	\$214,859.00	\$216,681.00	\$644,622.00
OPERATING EXPENSES							
Category							
1.	READY Teacher Stipends (\$100 x 8			\$8,000.00	\$8,000.00	\$8,000.00	\$24,000.00
2.	Apricot User Costs @ 22/yr.			\$8,866.00	\$9,088.00	\$9,314.00	\$27,268.00
3.	\$175/hour (Year 1 @265 hrs; Year			\$46,375.00	\$28,000.00	\$28,000.00	\$102,375.00
4.	2 @160 hrs; Year 3 @160 hrs)						\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
10.				\$0.00	\$0.00	\$0.00	\$0.00
11.				\$0.00	\$0.00	\$0.00	\$0.00
12.				\$0.00	\$0.00	\$0.00	\$0.00
13.				\$0.00	\$0.00	\$0.00	\$0.00
Subtotals Operating				\$63,241.00	\$45,088.00	\$45,314.00	\$153,643.00
Subtotal Budget				\$276,323.00	\$259,947.00	\$261,995.00	\$798,265.00
direct costs)				\$0.00	\$0.00	\$0.00	\$0.00
Total Budget				\$276,323.00	\$259,947.00	\$261,995.00	\$798,265.00

Organization:

Sonoma County Human Services Department

Program Title:

Road to Early Achievement and Development of Youth (READY) + Shared M

**FY 2021-2022 BUDGET**

PERSONNEL Job Title		FTE	Full-time salary	Cost	First 5 Sonoma Request	Required match*	
						In-Kind Contribution	Leveraged funding
1.	READY staff	0.87	\$164,000	\$142,000.00	\$142,000.00	\$22,000.00	\$0.00
2.	Apricot staff	0.47	\$149,855	\$71,082.00	\$71,082.00	\$0.00	\$78,773.00
3.				\$0.00	\$0.00	\$0.00	\$0.00
4.				\$0.00	\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
Subtotal Salaries				\$213,082.00	\$213,082.00	\$22,000.00	\$78,773.00
10.	Benefits			\$52,748.00	\$0.00	\$52,748.00	\$0.00
Total Personnel				\$265,830.00	\$213,082.00	\$74,748.00	\$78,773.00
<b>OPERATING EXPENSES</b>							
Category							
1.	READY Teacher Stipends (\$100 x 80			\$8,000.00	\$8,000.00	\$0.00	\$0.00
2.	Apricot User Costs @ 22/yr.			\$8,866.00	\$8,866.00	\$0.00	\$0.00
3.	Apricot Consultant Hours @			\$46,375.00	\$46,375.00	\$0.00	\$0.00
4.	\$175/hour (Year 1 @265 hrs				\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
10.				\$0.00	\$0.00	\$0.00	\$0.00
11.				\$0.00	\$0.00	\$0.00	\$0.00
12.				\$0.00	\$0.00	\$0.00	\$0.00
13.				\$0.00	\$0.00	\$0.00	\$0.00
Total Operating				\$63,241.00	\$63,241.00	\$0.00	\$0.00
Subtotal Budget				\$329,071.00	\$276,323.00	\$74,748.00	\$78,773.00
direct costs)				\$0.00	\$0.00	\$0.00	\$0.00
Total Budget				\$329,071.00	\$276,323.00	\$74,748.00	\$78,773.00

**\*Required 10% match:** On an annual basis, funded partners must commit a match of at least 10% to offset total budget for the fiscal year, which can be a combination of in-kind contribution and/or leveraged funding from other source(s). Proposers should verify that total in-kind and leveraged external funding (J38+K38) for each year is equal to or greater than 10% of total annual budget (H38).

**\*\*Indirect Costs:** Indirect costs are shared costs across an organization whose benefit is not readily identifiable with a specific program or programs, but necessary to the general operation of the organization. Proposal budgets may include indirect costs calculated through one of two methods: 1) allocate shared costs individually by line item (e.g. "1. Audit", 2. Rent"); or 2) calculate overall indirect cost based on a methodology explained in the Budget Narrative and include the organization's indirect cost allocation plan. For more information, see RFP.

**Organization:**

Sonoma County Human Services Department

**Program Title:**

Road to Early Achievement and Development of Youth (READY) + Shared Measurement Pr

**FY 2022-2023 BUDGET**

PERSONNEL		FTE	Full-time salary	Cost	First 5 Sonoma Request	Required match*	
						In-Kind Contribution	Leveraged funding
1.	READY staff	0.87	\$164,000.00	\$142,000.00	\$142,000.00	\$22,000.00	\$0.00
2.	Apricot staff	0.47	\$149,855.00	\$72,859.00	\$72,859.00	\$0.00	\$76,996.00
3.				\$0.00	\$0.00	\$0.00	\$0.00
4.				\$0.00	\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
Subtotal Salaries				\$214,859.00	\$214,859.00	\$22,000.00	\$76,996.00
10.	Benefits			\$52,748.00	\$0.00	\$52,748.00	\$0.00
Total Personnel				\$267,607.00	\$214,859.00	\$74,748.00	\$76,996.00
OPERATING EXPENSES Category							
1. READY Teacher Stipends (\$100 x 80)/				\$8,000.00	\$8,000.00	\$0.00	\$0.00
2. Apricot User Costs @ 22/yr.				\$9,088.00	\$9,088.00	\$0.00	\$0.00
3. Apricot Consultant Hours @				\$28,000.00	\$28,000.00	\$0.00	\$0.00
4. \$175/hour (Year 2 @160 hrs					\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
10.				\$0.00	\$0.00	\$0.00	\$0.00
11.				\$0.00	\$0.00	\$0.00	\$0.00
12.				\$0.00	\$0.00	\$0.00	\$0.00
13.				\$0.00	\$0.00	\$0.00	\$0.00
Total Operating				\$45,088.00	\$45,088.00	\$0.00	\$0.00
Subtotal Budget				\$312,695.00	\$259,947.00	\$74,748.00	\$76,996.00
direct costs)				\$0.00	\$0.00	\$0.00	\$0.00
Total Budget				\$312,695.00	\$259,947.00	\$74,748.00	\$76,996.00

**\*Required 10% match:** On an annual basis, funded partners must commit a match of at least 10% to offset total budget for the fiscal year, which can be a combination of in-kind contribution and/or leveraged funding from other source(s). Proposers should verify that total in-kind and leveraged external funding (J38+K38) for each year is equal to or greater than 10% of total annual budget (H38).

**\*\*Indirect Costs:** Indirect costs are shared costs across an organization whose benefit is not readily identifiable with a specific program or programs, but necessary to the general operation of the organization. Proposal budgets may include indirect costs calculated through one of two methods: 1) allocate shared costs individually by line item (e.g. "1. Audit", 2. Rent"); or 2) calculate overall indirect cost based on a methodology explained in the Budget Narrative and include the organization's indirect cost allocation plan. For more information, see RFP.

**Organization:**

Sonoma County Human Services Department

**Program Title:**

Road to Early Achievement and Development of Youth (READY) + Shared Measurement

**FY 2023-2024 BUDGET**

PERSONNEL	Job Title	FTE	Full-time salary	Cost	First 5 Sonoma Request	Required match*	
						In-Kind Contribution	Leveraged funding
1.	READY staff	0.87	\$164,000.00	\$142,000.00	\$142,000.00	\$22,000.00	\$0.00
2.	Apricot staff	0.47	\$149,855.00	\$74,681.00	\$74,681.00	\$0.00	\$75,174.00
3.				\$0.00	\$0.00	\$0.00	\$0.00
4.				\$0.00	\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
Subtotal Salaries				\$216,681.00	\$216,681.00	\$22,000.00	\$75,174.00
10.	Benefits			\$52,748.00	\$0.00	\$52,748.00	\$0.00
Total Personnel				\$269,429.00	\$216,681.00	\$74,748.00	\$75,174.00
<b>OPERATING EXPENSES</b>							
Category							
1.	READY Teacher Stipends (\$100 x			\$8,000.00	\$8,000.00	\$0.00	\$0.00
2.	Apricot User Costs @ 22/yr.			\$9,314.00	\$9,314.00	\$0.00	\$0.00
3.	Apricot Consultant Hours @			\$28,000.00	\$28,000.00	\$0.00	\$0.00
4.	\$175/hour (Year 3 @160 hrs)				\$0.00	\$0.00	\$0.00
5.				\$0.00	\$0.00	\$0.00	\$0.00
6.				\$0.00	\$0.00	\$0.00	\$0.00
7.				\$0.00	\$0.00	\$0.00	\$0.00
8.				\$0.00	\$0.00	\$0.00	\$0.00
9.				\$0.00	\$0.00	\$0.00	\$0.00
10.				\$0.00	\$0.00	\$0.00	\$0.00
11.				\$0.00	\$0.00	\$0.00	\$0.00
12.				\$0.00	\$0.00	\$0.00	\$0.00
13.				\$0.00	\$0.00	\$0.00	\$0.00
Total Operating				\$45,314.00	\$45,314.00	\$0.00	\$0.00
Subtotal Budget				\$314,743.00	\$261,995.00	\$74,748.00	\$75,174.00
direct costs)				\$0.00	\$0.00	\$0.00	\$0.00
Total Budget				\$314,743.00	\$261,995.00	\$74,748.00	\$75,174.00

**\*Required 10% match:** On an annual basis, funded partners must commit a match of at least 10% to offset total budget for the fiscal year, which can be a combination of in-kind contribution and/or leveraged funding from other source(s). Proposers should verify that total in-kind and leveraged external funding (J38+K38) for each year is equal to or greater than 10% of total annual budget (H38).

**\*\*Indirect Costs:** Indirect costs are shared costs across an organization whose benefit is not readily identifiable with a specific program or programs, but necessary to the general operation of the organization. Proposal budgets may include indirect costs calculated through one of two methods: 1) allocate shared costs individually by line item (e.g. "1. Audit", 2. Rent"); or 2) calculate overall indirect cost based on a methodology explained in the Budget Narrative and include the organization's indirect cost allocation plan. For more information, see RFP.



**Organization:** Sonoma County Human Services Department  
**Program** Road to Early Achievement and Development of Youth (READY) +  
**Title:** Shared Measurement Project

**LEVERAGED FUNDING DETAIL**

In-Kind Contributions & Value		FY 21-22	FY 22-23	FY 23-24	TOTAL
1.	READY Staff	\$22,000.00	\$22,000.00	\$22,000.00	<b>\$66,000.00</b>
2.	Apricot Staff	\$78,773.00	\$76,996.00	\$75,174.00	<b>\$230,943.00</b>
3.	Staff Benefits	\$52,748.00	\$52,748.00	\$52,748.00	<b>\$158,244.00</b>
4.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
5.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
6.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
7.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
8.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
9.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
<b>Total In-Kind</b>		<b>\$153,521.00</b>	<b>\$151,744.00</b>	<b>\$149,922.00</b>	<b>\$455,187.00</b>
<b>External Funding Source</b>					
1.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
2.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
3.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
4.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
5.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
6.		\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
<b>Total External</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Leveraged Funding</b>		<b>\$153,521.00</b>	<b>\$151,744.00</b>	<b>\$149,922.00</b>	<b>\$455,187.00</b>

## EXHIBIT B-1

**Organization:** Sonoma County Human Services Department  
**Program Title:** Road to Early Achievement and Development of Youth (READY)  
+ Shared Measurement Project

### BUDGET NARRATIVE

PERSONNEL JUSTIFICATIONS		
List job titles, employee names, FTE, annual salary and/or hourly wage, brief description of role in program.		Multi-Year Total Cost
1.	READY Analyst, Norine Doherty, FTE @ .89%; Annual salary @ \$164,000; Responsible for overall READY program management and oversight, contract management, data collection, evaluation and	\$426,000.00
2.	Apricot & READY Admin Aide, Allison Carr, FTE @ .47%; Annual salary @ \$142,000; Responsible for READY and Apricot project coordination, Technical assistance provided to Apricot users, contract monitoring and coordination, support with data collection, data cleaning and report development.	\$218,622.00
<b>Methodology for Fringe Benefits:</b> Describe all applicable employee benefit and methodologies for cost allocation.		
		\$0.00
<b>TOTAL COST FOR PERSONNEL</b>		<b>\$644,622.00</b>
OPERATIONAL COST CATEGORIES & JUSTIFICATIONS		
		Multi-Year
1.	READY teacher stipends (\$100 x 80)/yr: \$100 stipends for participating kindergarten teachers for their staff time reimbursement of: READY training, technical assistance, data collection and data	\$24,000.00
2.	Apricot User Costs @ 22 users/year: User purchases @ 22 allows multiple staff and contractors access to Apricot system for data entry, data cleaning, multi-agency service delivery coordination, and client	\$27,268.00
3.	Apricot consultant hours @ \$175/hr.; Year 1- 265 hours; Year 2- 160 hours; Year 3- 160 hours: Consultant hours needed for initial Apricot system launch, integration and adaptation with current data forms	\$102,375.00
<b>Total Cost for Operations</b>		<b>\$153,643.00</b>
INDIRECT COST ALLOCATION METHODOLOGY		Multi-Year
<b>Total Indirect Costs</b>		









# 2122-500-00\_HSD PREE-FIRST5-READYPlus-2124 Final 6-3-21

Final Audit Report

2021-06-04

Created:	2021-06-03
By:	Renee Alger (ralger@first5sonomacounty.org)
Status:	Signed
Transaction ID:	CBJCHBCAABAAoDHFugsdgz4Q9d8UtmZo_Xyww7rp5ZXg

## "2122-500-00\_HSD PREE-FIRST5-READYPlus-2124 Final 6-3-21" History

-  Document created by Renee Alger (ralger@first5sonomacounty.org)  
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Signature Date: 2021-06-04 - 5:40:20 AM GMT - Time Source: server- IP address: 75.48.74.102
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