

First Things First

Grant Renewal Package Instructions

July 1, 2013 – June 30, 2014

Your First Things First (FTF) grant is eligible for a program renewal by extending the previous 2013 fiscal year grant award. Programs proposed for the 2014 fiscal year cannot be different in scope than the previous grant award.

Grantee Name:	Gila County
FTF Grant Number:	GRA-STATE-13-0502-01
Strategy Name:	Child Care Health Consultation
Data Template(s) Assigned:	
Eligible Renewal Amount:	\$19,567.00 The amount is subject to change pending legal and procurement review at First Things First. If a different amount is approved for renewal, an updated line item budget & budget narrative will be required.

The renewal package includes the completion and submission of Attachments A-E. Attachment F, Data Security Guidelines, has been revised and replaces previous versions.

Program Implementation Plan (Attachment A)

Provide an updated implementation plan for the 2014 fiscal year. The implementation plan should be related to the originally approved program activities, tasks, data collection, data submission, and process.

2014 Budget Forms (Attachment B – must include both the line item budget and budget narrative)

Key Personnel (Attachment C)

List all staff that will be paid from this grant program during the 2014 grant cycle. This should match your line item budget and budget narrative. Submit resumes and/or staff change notification forms for new staff or those that have not yet been submitted to First Things First previously. The staff change notification form is located under the Grantee Resources folder on the Partner Grant Management System (PGMS) home page.

Disclosure of Other Funding Sources (Attachment D)

List any other funding utilized for this program administered by your agency.

First Things First Standard Agency Information Collection Form (Attachment E)

Please complete all sections detailing:

- The main, program, financial and evaluation contact information for PGMS access to the 2014 grant.
- The **Target Service Number(s)** to be served/completed in 2014 for all identified strategies.
- A brief program description to be used for public descriptions of First Things First funded programs.

Standards of Practice Updates: Utilizing the standards of practice are part of the requirements for the award and implementation of your grant program. They represent FTF's intent for the implementation

of a specific strategy. Prior authorization is needed if the program deviates from the standards of practice. Grantees are responsible for reviewing and implementing the most recent updates to the standards of practice, located in the FTF Strategy Toolkit.

Model Programs that Require Certification and Accreditation: It is the grantee's responsibility to maintain accreditation/certification with national program models. Grantees are to include staff training, program model accreditation/certification and quality assurance and evaluation costs in budgets, as needed. Programs will need to refer to their national office and/or administrative home for cost information, if applicable.

Compliance with State and Federal Law: As a reminder, all other state rules, regulations, and special terms and conditions will remain in effect for the grant period. This renewal application information becomes part of the agreement and expectations for program implementation and performance. A complete listing of the state uniform terms and conditions can be found via the State Procurement Office website at: <http://spo.az.gov/Admin Policy/SPM/Forms/default.asp>. Additionally, First Things First will post any applicable grantee requirement and updated Communications Protocol information under the Grantee Resources folder in PGMS.

Grantees must maintain compliance with the Federal Immigration and Nationality Act (FINA) and all other federal immigration laws and regulations related to the immigration status of its employees. These warranties shall remain in effect through the term of the agreement. Grantees will also maintain Employment Eligibility Verification forms (I-9) as required by the U.S. Department of Labor's Immigration and Control Act for all employees performing work under the agreement. I-9 forms are available for download at USCIS.GOV.

First Things First may request verification for any grantee or subgrantee performing work under the agreement. Should FTF suspect or find that a grantee is not in compliance with state or federal laws, First Things First may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the agreement for default and suspension and/or debarment of the grantee. All costs necessary to verify compliance are the responsibility of the grantee.

Data Security: All grantees must have a data security policy in force, which identifies how the organization ensures that data is protected in all its forms, during all phases of its life cycle, from inappropriate access, use, modification, disclosure, or destruction. All grantees subject to HIPAA, FERPA, GITA, or other data regulation, are required to submit and maintain those approvals for all data. Refer to **Attachment F, Data Security Guidelines and Requirements for Collaborators**, for more information.

Program Performance and Data Reporting Requirement Updates: First Things First provides program information to the public, Regional Partnership Councils, and the Board of First Things First. The information regularly provided to the Regional Partnership Councils and Board of First Things First include proposed renewal information; submission of data related to performance measures and target service units; prior program performance; information provided in program narrative reports; and financial/expenditure information. Regional Partnership Councils utilize this information to continue strategic planning efforts and identify annual funding priorities; to assist with renewal decisions; to develop new or modified strategies; to review the impact that programs have had in the region and state; as well as achievements in system building.

Grantee Data Reporting Requirements are identified in each grant and can be accessed in the FTF Strategy Toolkit. Please review the latest Data Reporting Requirements in preparation for implementation upon grant renewal.

Renewal Package Due Date: The renewal package must be *received* by **May 1, 2013 at 3:00pm** and submitted via email or standard mail:

Russell Spencer, Fiscal Specialist
First Things First
4000 N. Central
Phoenix, AZ 85012
rspencer@azftf.gov
602-771-5043

Attachment A

**Program Implementation Plan
2014**

Activities	Task	Person Responsible	Date Task Will Be Completed/Timeline	Support Documentation
Preparations	Continue to purchase equipment and supplies for CCHC	Collaboration between Manager and CCHC's	By June 30, 2014	Purchase orders and invoices.
	Purchase incentives for Centers	CCHC's	PRN, by end of contract	Purchase orders and invoices.
	Purchase supplies to promote Program	CCHC's	Ongoing	Purchase orders and invoices
Training	Additional trainings for 2 current CCHCs and training a new CCHC.	Collaboration between Manager and CCHC's	Ongoing	Certificates for attendance and invoices for travel expenses
	Provide review –Meet with CCHC to discuss any concerns	Program Manager	At Monthly Nursing Staff Meeting	Staff Meeting Minutes
Coordination	Set up necessary paperwork and travel needs for CCHC visits	Program Manager and CCHC's	Ongoing	Quarterly reports
	Contact clients requesting assistance	CCHC's	Ongoing	Care Fax Documentation
	Confirm dates of community health fairs	Program Manager	Ongoing	Attendance to event
Outreach	Participate in Health Fairs with information regarding CCHC's and First Things First.	Program Manager along with CCHC's	June 30, 2014	Purchase orders and invoices. List of Health Fairs Attended
Implementation	Schedule Quality First Visits to provide assessments & assistance as needed.	CCHC's	Ongoing	Carefacts Documentation
	Ensure reports are complete and accurate	Program Manager	Quarterly	Quarterly Reports

Followup	Schedule revisits and needed	CCHC's	Ongoing	Carefacts
	Provide programs assistance as needed	CCHC's	Ongoing	Carefacts
Evaluations	Ensure that all reports are provided to FTF in a timely manner as specified in the contract	Program Manager	Ongoing	Quarterly Reports

Attachment B (Instructions)

How to Complete the Line Item Budget and Budget Narrative

Complete a 12-month budget for the period July 1, 2013 through June 30, 2014 using the template provided. Please make sure to include the provided budget narrative which describes the proposed line item budget.

Please keep in mind items described in a line item budget and in more detail in the budget narrative should describe how the costs were determined and the public purpose for the cost related successfully implementing the project. Requested funds must follow these guidelines:

- Be necessary and reasonable for proper and efficient performance and administration of First Things First funds.
- Be authorized or not prohibited under State or local laws or regulations.
- Be consistent with policies, regulations, and procedures that apply uniformly to all costs charged and expended by the agency – consistent treatment of costs.
 - For example – a cost may not be assigned to another grant award as an indirect cost if any other cost incurred for the same purposes in like circumstances has been allocated to the First Things First award as a direct cost.
 - For example – a cost for a certain type of expense is charged one rate to another source of funding and a different rate to First Things First - this would not be consistent treatment of costs.
- Be determined in accordance with generally accepted accounting principles.
- Be adequately documented.
- All travel related costs for these trainings and meetings should be included in the Applicant's budget and calculated using the State of Arizona travel rate limitations for mileage, per diem and lodging as described on the budget narrative worksheet. For more information about the state requirements, visit <http://www.gao.az.gov/travel/>.
- Budget modification requests must be submitted via the FTF Partner Grant Management System (PGMS) Communication Log and approval received prior to the implementation of any of the modifications.

Attachment B

Line Item Budget

While you must use this format, you may reproduce it in Word or Excel. Limit your budget line items to the budget categories listed below.

Budget period: July 1, 2013 – June 30, 2014

Budget Category	Line Item Description	Requested Funds	Total Cost
PERSONNEL SERVICES		Personnel Services Sub Total	\$10,250.00
Salaries	Finance Clerk 2 CCHC's	\$2,250.00 \$8,000.00	
EMPLOYEE RELATED EXPENSES		Employee Related Expenses Sub Total	\$3,120.00
Fringe Benefits or Other ERE	2 CCHC's	\$3,120.00	
PROFESSIONAL AND OUTSIDE SERVICES		Professional & Outside Services Sub Total	\$0
Contracted Services			
TRAVEL		Travel Sub Total	\$2,300.40
In-State Travel	In state travel to meetings and training		
Out of State Travel			
AID TO ORGANIZATIONS OR INDIVIDUALS		Aid to Organizations or Individuals Sub Total	\$0
Subgrants or Subcontracts to organizations/agencies/entities			
OTHER OPERATING EXPENSES		Other Operating Expenses Sub Total	\$2,117.80
<ul style="list-style-type: none"> • Telephones/Communications Services • Internet Access • General Office Supplies • Food • Rent/Occupancy • Evaluation (non-contracted & non-personnel expenses) • Utilities • Furniture • Postage • Software (including IT supplies) • Dues/Subscriptions • Advertising • Printing/Copying • Equipment Maintenance • Professional Development/Staff Training • Conference Workshops/ Training Fees for Staff • Insurance • Program Materials • Program Supplies • Scholarships • Program Incentives 	Pens, Paper, presentations For classes requested Na'l Assoc of Education of Young Children x 2 CCHC flyers for Health Fairs Calibration of Hearing Machines Training fees for staff Posters, coloring books, etc.	\$300.00 \$200.00 \$400.00 \$300.00 \$360.00 \$200.00 \$357.80	
CAPITAL EQUIPMENT		Capital Equipment Sub Total	\$
Equipment \$5,000 or greater in value			
NON-CAPITAL EQUIPMENT		Non-Capital Sub Total	\$
Equipment \$4,999 or less in value			
ADMINISTRATIVE/INDIRECT COSTS		Total Admin/Indirect	\$
Indirect/Admin Costs		\$	\$1,778.81
Total		\$	\$19,567.00

Authorized signature Michael A. Pastor Date 6-4-2013
 Michael A. Pastor, Chairman

Approved as to form: Bryan Chambers
 Bryan Chambers, Deputy Attorney Principal

Attachment B (Continued)

Budget Narrative

The purpose of the budget narrative is to provide more clarity and detail on the various budget line items. The budget narrative should explain the criteria used to compute the budget figures on the budget form. Please verify that the narrative and budget form correspond and the calculations and totals are accurate. **Please include one narrative that matches the 12-month line item budget categories and subcategories.**

Personnel Services: *Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also, be sure to include the scheduled salary increases on the Budget Form.*

Health Services Program Manager, Lorraine Dalrymple, RN, CCHC, 2% of time = n/c

Lucinda Campbell, RN, CCHC, \$44,000/year, 9% = \$4,000.00

Ramona (Ginnie) Scales, RN, CCHC, \$44,000/year, 9% = \$4,000.00

Sarah Chavez, Finance Clerk, set amount per grant = \$2,250.00

Jullie Mercer, RN, to be trained as CCHC, n/c

Employee Related Expenses: *Include a benefit percentage and what expenses make up employee benefit costs. Indicate any special rates for part-time employees, if applicable. Explain how the benefits for each position were determined. If using a fringe benefit rate, explain how this percentage is justified or approved by your agency.*

Taxes, health insurance, and state retirement = 39% for 2 CCHCs.

Professional and Outside Services: *If professional consultants/services costs are proposed in the budget, define how the costs for these services were determined and the justification for the services related to the project. Explain how all contracts will be procured. None*

Travel: *Separate travel that is in state and out-of-state. Include a detailed breakdown of hotel, transportation, meal costs, etc. Indicate the location(s) of travel, the justification for travel, how many employees will attend and how the estimates have been determined. Explain the relationship of each cost item to the project (e.g., if training or training expenses are requested, explain the topic of the training and its relationship to the project). Applicants **must** use the State of Arizona Travel Policy on rates limitations for mileage, lodging, and meals (<http://www.gao.az.gov/travel/> for both in-state and out-of-state travel.*

Attendance at 6 conferences/meeting during the year:

2 vehicles @ 200 miles x 6 conferences/meeting @ .57/mile = 1,368.00

Per diem for 2 nurses for breakfast and lunch @ \$12.50/each: \$25.00 x 6 = \$150.00

Training of a new CCHC (Jullie Mercer, RN)

320 miles to Tuscan training @ .57/mile = \$182.40

Per diem for three days at \$25.00/day = \$75.00

Hotel for 3 days at \$125.00/day = \$375

Aid to Organizations or Individuals: *In the event that this application represents collaboration and the contract will be utilizing other sub grantees or subcontractors to perform various components of the program, include a list of sub grantees, programmatic work each sub grantee will perform, and how costs for each sub grantee are determined. N/A*

Other Operating Expenses: *Explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing procedures. All items should be categorized in the following categories: Telephones / Communications Services, Internet Access, General Office Supplies, Food, Rent/Occupancy, Evaluation (non-contracted and non-personnel expenses), Utilities, Furniture, Postage, Software (including IT supplies), Dues/Subscriptions, Advertising, Printing/Copying, Equipment Maintenance, Professional Development/Staff Training, Conference Workshops/ Training Fees for Staff, Insurance, Program Materials, Program Supplies, Scholarships, and Program Incentives*

General Office Supplies: paper, pens, folders as needed \$150. X 2 CCHC	\$300.00
Food: 4 classes/trainings @ \$50.00/class	\$200.00
Membership/Dues: 2 Nat'l Assoc. of Education of Young Children @ \$100/each	\$200.00
Printing and copying: 1 black ink cartridge	\$140.00
Calibration of 2 hearing machines @ \$60.00 each and 2 @ \$120.00	\$360.00
Conferences/Workshops: To cover registrations	\$200.00
Program Incentives – posters, educational material, coloring books	\$357.80

Capital Equipment: *If allowable within the scope of the grant - For items that are tangible, non-expendable, and movable having a useful life of more than one year and a value of \$5,000 or greater, explain each item to be purchased, how the costs were determined and justify the need for the items based on the scope of work and the benefit to the project. All purchases should be made through competitive bid or using established competitive purchasing procedures. N/A*

Non-Capital Equipment: *For items with a unit cost less than \$5,000 and an initial estimated useful life beyond a single year, explain each item to be purchased, how the costs were determined and justify the need for the items. All purchases should be made through competitive bid or using established purchasing procedures. For example, items such as computers, printers, projectors, etc. each with a unit cost less than \$5,000. N/A*

Administrative/Indirect Costs: *Administrative costs are general or centralized expenses of overall administration of an organization that receives grant funds and does not include particular program costs. For organizations that have an established federally approved indirect cost rate for Federal awards, indirect costs mean those costs that are included in the organization's indirect cost rate. Such costs are generally identified with the organization's overall operation and are further described in 2 CFR 220, 2 CFR 225, and 2 CFR 230. 10% = \$1,778.81*

Applicants must list either Option A or Option B and provide proper justification for expenses included:

√ **Option A - Administrative Costs:** *with proper justification, sub grantees may include an allocation for administrative costs for up to 10% of the total direct costs requested of the grant request. Administrative costs may include allocable direct charges for: costs of financial, accounting,*

auditing, contracting or general legal services; costs of internal evaluation, including overall organization's management improvement costs; and costs of general liability insurance that protects the organization(s) responsible for operating a project, other than insurance costs solely attributable to the project. Administrative costs may also include that portion of salaries and benefits of the project's director and other administrative staff not attributable to the time spent in support of a specific project.

OR

- Option B - Federally Approved Indirect Costs:** If your organization has a federally approved indirect cost rate agreement in place, grantees may include an allocation for indirect costs for up to 10% of the direct costs. Applicants must provide a copy of their federally approved indirect cost rate agreement.

Indirect costs are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs that are usually treated as indirect.

Authorized signature Michael A. Pastor Date 6-4-2013
Michael A. Pastor, Chairman

Approved as to form: Bryan Chambers
Bryan Chambers, Deputy Attorney Principal

Attachment C

Key Personnel

STAFF MEMBER	BACKGROUND AND EXPERTISE OF PERSONNEL
Name: Lorraine Dalrymple Title: Health Services Program Manager FTE on this project: 2% (N/C)	<ul style="list-style-type: none"> ● Registered Nurse ● Staff RN-Pediatrics ● RN Pediatric home care ● Child Care Health Consultant Certification
Name: Ginnie Scales Title: Public Health Nurse FTE on this project: 9%	<ul style="list-style-type: none"> ● Registered Nurse ● Child Care Health Consultant Certification ● Early Childhood Education Certificate (2002) ● Associate in Child Development
Name: Lucinda Campbell Title: Public Health Nurse FTE on this project: 9%	<ul style="list-style-type: none"> ● Registered Nurse ● Child Care Health Consultant Certification
Name: Sarah Chavez Title: Fiscal Acct. Clerk Set amount on this project: \$2,250.00	<ul style="list-style-type: none"> ● 25 years of accounting experience ● 15 years of experience in payroll
Name: Jullie Mercer Title: Public Health Nurse FTE on this project: 0	<ul style="list-style-type: none"> ● 35 years experience as a Registered Nurse ● To be trained as a Child Care Health Consultant
Name: Title: FTE on this project:	

***In addition, please attach a resume (for current personnel) or a job description (for positions to be hired) for the key personnel involved in the project and listed above. If awarded and there is a change in staff or a vacant position filled, a Staff Change Notification form and resume must be uploaded via the Communication Log in PGMS.**

KEY PERSONNEL SHOULD INCLUDE ANYONE WHO WILL BE PAID FROM THE GRANT

Attachment D

DISCLOSURE OF OTHER FUNDING SOURCES

Please list all other funding that your organization currently receives from State or Public Agencies, Federal Agencies, Non-Profit Organizations, or any other source providing funding for the funded program*. Statute ARS 8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no First Things First monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.

Use a continuation sheet if necessary. The following form may be reproduced with word processing software or another form may be created that contains all the information requested.

Type of Funding (Federal, State, local, other)	Received From	Amount	✓ If used for match on this grant
TOTAL:			0

***Should include only those funds that will support the program detailed the awarded First Things First grant award**

Attachment E

First Things First Standard Agency Information Collection Form

A. Agency Information:

Program Name (if applicable) Gila County Child Care Health Consultant Program

Agency Gila County Division of Health and Emergency Services Contact Person Lorraine Dalrymple

Address 5515 S. Apache Avenue, Suite 100 Position _____

Address _____ Email _____

City, State, Zip Globe, AZ 85501 Phone (928) 402-8807 Ext. _____

County Gila Fax (928) 425-0794

Employer Identification Number: 86-6000444

Agency Classification: State Agency County Government Local Government Schools
 Tribal Faith Based Non Profit Private Organization Other

Have you previously conducted business with First Things First using this EIN? Y N

*If not, please go to http://www.gao.az.gov/Vendor/account_setup_home.asp,
download the State of Arizona Substitute W-9 Form, and submit with your application*

Congressional district (federal) in which agency provides most services: District # 1

Legislative district (state) in which agency provides most services: District # 5
*Go to <http://www.azredistricting.org> and click on Final Maps to identify your
Congressional and legislative district*

Approximate federal funding (from a federal source) to be received in current fiscal year? \$5,500,000.00

Agency's fiscal year-end date: June 30, 2013

Agency's accounting method: Cash Accrual

Does your organization undergo an annual independent audit in accordance with OMB Circular A-133? Y N

Contact information for firm conducting agency audit:

Audit firm: Miller, Allen & Co., P.C.

Address: 5333 North 7th Street, Suite 100, Phoenix, AZ 85014

Phone: (602) 264-3888

B. Proposed Program Information / Description:

Amount requested: \$19,567.00

Service area of proposed program: All of Gila County

Target population of proposed program: Gila County Daycare Centers registered with First Things First

Lead Strategy - Child Care Health Consultation

There are assigned Service units for the strategy award from First Things First. Given the Listed Service Unit, provide a contracted number for FY 14.

Important Items to NOTE:

If you are providing a Service Unit different than the FY 13 contracted number, provide a brief description explaining the change.

If you are not providing services for a particular Target Service Unit within the assigned Strategy please indicate with "NA".

IMPORTANT: Please find the full listing of First Things First Target Service Unit descriptions loaded in PGMS under Grantee Resources within a folder called Target Service Units.

Number of center based providers served: 5

Number of home based providers served: 3

Non-Lead Strategy 1 (if applicable) N/A

Non-Lead Strategy 2 (if applicable) N/A

C. Contact Information:

First Things First Partner and Grants Management System (PGMS) requires contact information for persons filling overall grant management, financial, programmatic, and evaluation roles. The same person may be assigned to more than one of the roles.

Main contact information: This contact person has overall responsibility for ensuring the program is successfully implemented. This person will be able to view all programmatic, financial, and evaluation information in PGMS. Correspondence from First Things First will be sent to this person.

Main contact person: Lorraine Dalrymple, RN

Position: Health Services Program Manager, Gila County Office of Health

Address: 5515 South Apache Avenue, Suite 100

City, State, Zip: Globe, AZ 85501

Email: ldalrymp@co.gila.az.us

Phone: (928) 402-8807 Ext. _____ Fax: (928) 425-0794

Program contact information: This contact person has responsibility for the regular program operations. They will be able to view program and evaluation information in PGMS.

Program Contact Person: Lucinda Campbell, RN

Position: Public Health Nurse, CCHC, Gila County Office of Health

Address: 107 W. Frontier, Suite A

City, State, Zip: Payson, AZ 85541

Email: lcampbell@co.gila.az.us

Phone: (928) 474-7186 Ext. _____ Fax: (928) 474-7069

Financial contact information: This contact person has the responsibility for financial accounting and reporting including submitting reimbursement request through PGMS. They will be able to view financial information in PGMS.

Financial contact person: Sarah Chavez

Position: Fiscal Account Clerk, Gila County Division of Health and Emergency Service

Address: 5515 S. Apache Avenue, Suite 100

City, State, Zip: Globe, AZ 85501

Email: schaves@co.gila.az.us

Phone: (928) 402-4332 Ext. _____ Fax: _____

Evaluation contact information: This contact person has responsibility for the program's evaluation and data collection activities. They will be able to view evaluation information in PGMS.

Evaluation contact person: Lorraine Dalrymple, RN

Position: Health Services Program Manager, Gila County Office of Health

Address: 5515 S. Apache Avenue, Suite 100

City, State, Zip: Globe, AZ 85501

Email: ldalrymp@co.gila.az.us

Phone: (928) 402-8807 Ext. _____ Fax: (928) 425-0794

Your application may have included information about a collaborating partner/agency. Please provide contact information for these collaborators below.

Collaborator

Agency: Gila County Injury Prevention Contact Person: Charles Turney
Address: 5515 S. Apache Avenue Position: Community Health Worker Sr.
Address: Suite 100 Email: cturney@co.gila.az.us
City, State, Zip: Globe, AZ 85501 County: Gila
Phone: (928) 402-8868 Ext. _____ Fax: (928)425-0794

Collaborator

Agency: Gila County Environmental Health Contact Person: Lauren Savaglio
Address: 5515 S. Apache Avenue Position: Environmental Health Program Manager
Address: Suite 100 Email: lsavaglio@co.gila.az.us
City, State, Zip: Globe, AZ 85501 County: Gila
Phone: (928) 402-8820 Ext. _____ Fax: (928)425-0794

Collaborator

Agency: _____ Contact Person: _____
Address: _____ Position: _____
Address: _____ Email: _____
City, State, Zip: _____ County: _____
Phone: _____ Ext. _____ Fax: _____

Collaborator

Agency: _____ Contact Person: _____
Address: _____ Position: _____
Address: _____ Email: _____
City, State, Zip: _____ County: _____
Phone: _____ Ext. _____ Fax: _____

Attachment F

First Things First - Arizona Early Childhood Development and Health Board Data Security Guidelines and Requirements for Collaborators

BACKGROUND:

The purpose of the Arizona Early Childhood Development and Health Board (First Things First - FTF) is to aid in the creation of a system that offers opportunities and support for families and communities in the development of all children, so they can grow up healthy and ready to succeed. Our work is accountable and transparent to decision-makers and the citizens of Arizona. Collaboration and direct funding of grantees to undertake work on behalf of the children and families of Arizona is fundamental to the purpose and mission of FTF. Regular submission of data related to funded work is an important part of ensuring accountability and maximum positive impact for young children, as well as a material condition of receiving FTF grant funding.

Data Security Guidelines for Data Submission to FTF

First Things First will ensure that resources allocated have maximum impact for the benefit of children and families. To ensure this accountability, FTF has established data reporting requirements for all state and regional grantees. All funded providers shall regularly submit programmatic and financial reports as identified in the FTF reporting requirements.

FTF data submissions are classified in one of three levels:

- **Public data**
- **Limited distribution data**
- **Confidential data**

The majority of FTF reporting submissions are completed through the FTF Partner Grant Management System (PGMS). Subsequent to the award of an FTF grant, the grantee will receive general training on login and navigation within the PGMS system. With this login, the grantee will be able to manage their contract information. An additional training on strategy-specific data submission requirements will also be conducted. During that training, the grantee will be informed on submission of data reporting requirements through PGMS. All data submitted through PGMS is **public data** or **limited distribution data**. Because PGMS is located in a secure extranet environment, grantees using PGMS for data submission are not required to undertake additional security measures related to their data submission above those identified in the general and data submission orientations (password and login security, guidelines for upload of narrative and other reports).

A small group of grantees submit data requirements, with an agreement between the grantee and FTF, through an established secure web service or FTP (File Transfer Protocol) site via the internet, rather than a PGMS web-based entry form. Such data is likely to contain limited distribution data and shall adhere to the following protocols. Grantees that submit data through the secure web service must submit data within the established data structures and format; follow all login procedures; submit a formal data change request form if needed; and ensure that limited distribution data may not be intercepted or viewed at any time by parties other than the grantee and FTF. Additionally, Grantee must ensure that throughout the reporting and submission process the data is secured, and that any confidential data is de-identified and/or encrypted.

Any grantee submitting data identified as confidential must file a formal data security policy with FTF.

Data Security Guidelines for Grantee Maintenance of Data

In order to submit data to FTF in fulfillment of reporting requirements, grantees shall keep all data collected for their program(s) within their system (database) or hardcopies. Grantee data is likely to contain highly sensitive information on individuals, their education and their health. These guidelines and requirements are for the maintenance of those data.

All grantees must have a data security policy in force that identifies how the organization ensures that data is protected in all its forms, during all phases of its life cycle, from inappropriate access, use, modification, disclosure, or destruction.

All grantees subject to HIPAA, FERPA, GITA, tribal law, or other data regulation, are required to submit and maintain those approvals for all data.

Data Permission Guidelines for Grantee Data

All grantees must be prepared for FTF review of client-level data (e.g. child-level, teacher-level, or early care and education provider-level) during on-site visits. Additionally, FTF data reporting requirements may include submission of client-level data (e.g. child-level, teacher-level, or early care and education provider-level). The grantee agrees to allow FTF to access such data. Should the data be subject to HIPAA, the grantee agrees to enter into FTF's HIPAA Business Associate Agreement.

To inform clients of FTF's reporting requirements, all grantees must include in their client enrollment forms the statement: "To comply with reporting requirements of the funding source, I grant permission to [insert grantee organizational name] to release background, service, and impact related information to the Arizona Early Childhood Development and Health Board, also known as First Things First." The grantee warrants to FTF that prior to entering into the grant agreement for FTF funding, it has appropriately enquired and satisfied itself that it has the ability and authority comply with the requirements of this section.

Grantees Serving Clients on Tribal Lands

First Things First honors tribal ownership of data and recognizes communication is necessary with Arizona Tribes to determine what process/protocol is needed to obtain data. FTF further recognizes Arizona Tribes as owners of their indigenous knowledge, cultural resources and intellectual property. To this end, it is imperative that all appropriate tribal approvals for data collection and submission to FTF must be obtained and kept on-file by the grantee and FTF for granting serving clients on tribal lands.

Compliance with Data Security Guidelines

The grantee acknowledges that failure to comply with any requirement of these Data Security Guidelines shall be a material breach of the grant agreement.

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