5.1 SIERRA KINGS HEALTH CARE DISTRICT
GRANTS MANAGEMENT
POLICIES AND PROCEDURES

GRANT MAKING – the Sierra Kings Health Care District (referred to as the District) shall participate in grantmaking pursuant to Health and Safety Code section 32126.5.

Purpose:
The purpose of the policy is to ensure good financial stewardship and fairness in grant making.

Policy:
It is the policy of the District that the following guidelines govern District processes and procedures related to grant making as follows:

I. Types of **funding approaches** for grant making
II. Description of each **type of process**
III. **Funding Criteria**
IV. **Authority**

I. FUNDING APPROACHES
The District provides support to programs through two primary funding approaches aimed at the following:

- *Tri-Annual Initiatives*
  Empower the community to initiate and develop innovative solutions towards impacting the District's focus areas.

- *Special Initiatives*
  Allow for District flexibility to proactively propose specific grant funding initiatives towards impacting the District's focus areas.

A. Tri-Annual Initiatives
Grant funding through the *Tri-Annual Initiatives* approach is intended to provide grant opportunities for a broad range of groups and entities from the community to develop and propose various activities related to District Priorities. *Tri-Annual Initiatives* will use Request for Proposals/Applications (RFP/RFAs) as a vehicle to solicit grant applications. *Tri-Annual Initiatives* may include 1.) the General Grants Program and 2.) the General Mini Grants Program.

1. The General Grants Program
The General Grants Program is intended primarily to help the District identify grant opportunities for locally applied solutions to locally identified challenges as specified by the District's Priorities. The amount of grant funding available under

this Program will be determined by the District during its annual budgetary process. This Program enables providers and other groups, organizations, and agencies to initiate and bring forth innovative and effective services (that are not otherwise supported by other funding sources) for grant funding consideration.

The General Grants Program will fund a broad range of 'needs' impacting health and wellness in connection to designated focus areas. The funding guidelines, criteria, and proposal process for the General Grants Program will be revisited regularly to ensure that the funding program is both responsive to community needs and supportive of the District's Strategic Plan.

2. <u>General Mini-Grants Program</u>

The purpose of the General Mini-Grants Program is to provide small grants to support community-based projects of a smaller scale that are not otherwise supported by other funding sources. A variety of groups may apply for funds.

B. Special Initiatives

Funding through *Special Initiatives* is intended to enable funding for efforts addressing the District's Strategic Plan as well as instances when emerging critical needs and/or opportunities arise or are identified. *Special Initiatives* thus serve as a vehicle for the District to expand its role as a proactive, focused initiator of efforts to improve health and wellbeing of the community in the District's focus areas.

<u>II TYPES OF PROCESSES</u>

Allocating funds for will be implemented via the following types of processes:

- *Defined Requests for Proposals (RFPs) and Request for Applications (RFAs)*
- *Scholarship Applications*
- *Sole Source Procurements*
- *Intent to Partner (ITP)*
- *Response to Emerging Trends and Needs*
- *Request for Information (RFI)*

1. Defined Requests for Proposals (RFPs) and Request for Applications (RFAs)

Defined RFPs and RFAs will enable the District to focus funding through a competitive RFP/RFA processes in specifically identified focus areas, as well as in instances when emerging needs and/or opportunities arise or are identified.

Application to the Define RFPs/RFAs will be informed of and required to abide by the requirements contained in each RFP/RFA (such as, timeliness,

responsiveness, and submittal requirements) approved and released by the District.

Appeals will only be permitted based on a violation of a law, rule, regulation, or terms of the RFP/RFA process as per specifications of the RFP/RFA. An applicant's mere disagreement with a decision of the District is not grounds for an appeal. All appeals must state the law, rule, regulation, and/or terms upon which the appeal is based. The District is the sole and final authority regarding the approval or disapproval of proposals/applications and the conditions under which they are funded. Appeals will not be heard for late proposals/applications, that do not pass the paper screening, applications that are unresponsive, or to protest an applicant's score.

2. **Scholarship Applications**
   Scholarship Applications will enable the District to focus funding on individuals pursuing education and trades in the medical/health field or other emerging needs and/or opportunities which may arise or are identified.

   Scholarship Applications will be guided by the timelines and submittal requirements defined for each application released by the District.

   Appeals will only be permitted based on a violation of a law, rule, regulation, or terms of the Scholarship Application process as per specifications of the RFP/RFA. An applicant's mere disagreement with the decision of the District is not grounds for an appeal. All appeals must state the law, rule, regulation, and/or terms upon which the appeal is based. The District is the sole and final authority regarding the approval or disapproval of Scholarship Applications and the conditions under which they are funded. Appeals will not be heard for late applications, applications that do not pass the paper screening, or to protest the applicant's score.

3. **Sole Source Procurement**
   Sole source procurement should only be used when competitive procurement procedures are deemed infeasible for at least one of the following reasons:

   a. There is only one viable provider of the required service in the community.

   b. After solicitation of a number of sources, competition is determined to be inadequate.

   c. All providers of a particular service will receive funding.

d. The District is contemplating an effort that has not previously been done in the community and is therefore unable to either develop an RFP/RFA with sufficient specificity or to identify potential providers.

e. Whenever sole source procurement is used, the rationale must be fully justified in writing and approved by the District before a contract is signed. The documentation justifying sole source procurement should include the following:

i. The effort made to solicit competitive bids or proposals, if any.

ii. A summary outlining the reason for the sole source, based on the allowable exceptions set forth above.

iii. Cost information in sufficient detail to support and justify the cost of the contract as reasonable and fair.

iv. Cost information for similar services and differences that should be noted and explained.

v. Special factors affecting the cost under the contract.

vi. An explanation of why the District believes the cost is appropriate.

4. Intent to Partner (ITP)

ITP is a form of sole-source procurement that has been used successfully by other Districts to fulfill the spirit of coordination and collaboration. The District may select providers by engaging in community-based planning efforts in which stakeholders come together for the purpose of identifying specific needs and the providers best able to meet those needs. If this method of selecting sole-source providers is used, the dates and times of these meetings should be advertised well in advance and all potential providers must be invited to participate. Funds should not be awarded during these meetings. The natural bias toward competitive procurement should apply; any exceptions should adhere to the guidelines outlined in this procedure.

5. Response to Emerging Needs and Trend

The District will explore and implement, as appropriate, potential new forms of allocating funds that are most responsive to addressing arising needs and trends (based upon reliable data, scientific knowledge, and/or compelling anecdotes) in the District. Innovative and/or other best practice forms of grant making, philanthropy, community investments, sole sourcing, re-granting, invitations to bid, request for qualifications,

fellowships/scholarships, etc., will be explored for consideration to maximize revenues and most strategically support District community impact.

6. **Request for Information**
   For cases in which a new effort is initiated and no apparent service providers exist, or where the District is not able to prepare an RFP/RFA, the District may elect to issue a Request for Information (RFI). The RFI should contain a description of the need to be met and/or results to be achieved and invite responders to provide approaches to meeting needs or achieving results. The RFI may or may not request a price; if a price is not included, once a recommended approach is selected, the District may elect to proceed to negotiate a fair price with the selected provider. In this case, the process for sole source contracting described above should be used. If more than one provider has submitted substantially the same approach, parallel negotiations on price and other conditions may be used.

III. Funding Criteria

District funds are used to enhance existing programs by providing financial support and new services developed in response to the program strategies described in the District's Strategic Plan. District funds are an additional source of funds to support linkages and program improvements that will be sustained through other funding mechanisms. The funds must be used to supplement, and not supplant other funding.

All programs receiving funding from the District will need to provide evidence of their experience and capacity for implementation of community health related services so that programs are of the highest quality. All programs, projects, services, and activities funded by the District will adhere to the Vision, Mission and desired outcomes outlined in the District's strategic plan.

Furthermore, the District will fund those programs that may include the following:

1. **Need for the Proposed Project:** Assessed in terms of:
   - the severity/importance of the need the project will address, and
   - the absence or inadequacy of current services to address the need.

2. **Proposed Project Outcomes and Objectives:** Assessed in terms of the consistency with the District's Strategic Plan and meaningfulness of outcome-based benefits related to the District's focus areas.

3. **Soundness of Proposed Activities:** Assessed in terms of the activities reflecting:
   - best/promising practices.
   - responsiveness to community needs/consumer involvement, input
   - cultural and linguistic appropriateness.

- accessibility of services, addressing relevant barriers

4. **Soundness of Evaluation Plan:** Assessed in terms of appropriateness of plan for assessing and demonstrating outcomes resulting from proposed activities.

5. **Capacity to Implement proposed Activities/Services:** Assessed in terms of the applicant organization's (or proposed collaborative partners', if applicable):

    - Programmatic experience/capacity to implement the proposed project;
    - Fiscal and administrative capacity to administer, manage, and account for the requested funds;
    - Qualifications of staff/organization to implement project activities, including the extent that the organization reflects and/or is knowledgeable of the community to be served; and
    - Collective capacities of proposed collaborative partners (if applicable) to implement the range of planned activities in a coordinated, integrated fashion.

6. **Blended Funds/Revenue Maximization:** Assessed in terms of the appropriateness of supporting the proposed project with District funds relative to presence/absence of other potential funding sources, and the additional funds and resources available to support the project. All funded programs will demonstrate in-kind.

7. **Sustainability and Institutionalization:** Assessed in terms of the viability of proposed activities being sustained and/or institutionalized beyond the grant term. Consideration of sustainability includes:

    - Presence/absence of alternative, ongoing revenue/funding streams that costs could be 'shifted' to once up-and-running;
    - Viability of continuing activities through program-generated revenue/ reimbursement;
    - Soundness of proposed activities to enhance sustainability of project.

8. **Systems Integration:** Assessed in terms of how the proposed project will be fully integrated with relevant services currently being provided in the District to integrate, coordinate, avoid duplication with, and/or otherwise link with relevant existing service systems in order to maximize the impact of the proposed project, as well as enhance the effectiveness of existing services.

9. **Soundness of Budget Request:** Assessed in terms of the requested amounts being well-defined/justified and appropriate relative to the planned

outcomes and activities.

IV. Authority

The Board is the sole authority in making any programmatic awards and will do so publicly. The Executive Director and District Chair or designees have been delegated the authority by the District to execute program contracts approved by the Board as long as there are no significant changes in scope of work (minor changes to the scope of work are permissible so long as the intent remains the same) and no changes to the dollar amounts of the program contracts.

All contracts will be executed with the appropriate and approved standardized contract language. All District contracts shall meet all State law requirements.

Annual Policy Review

Pursuant to Health and Safety Code section 32139(c), the District shall consider this policy annually.

Written: July 28, 2020