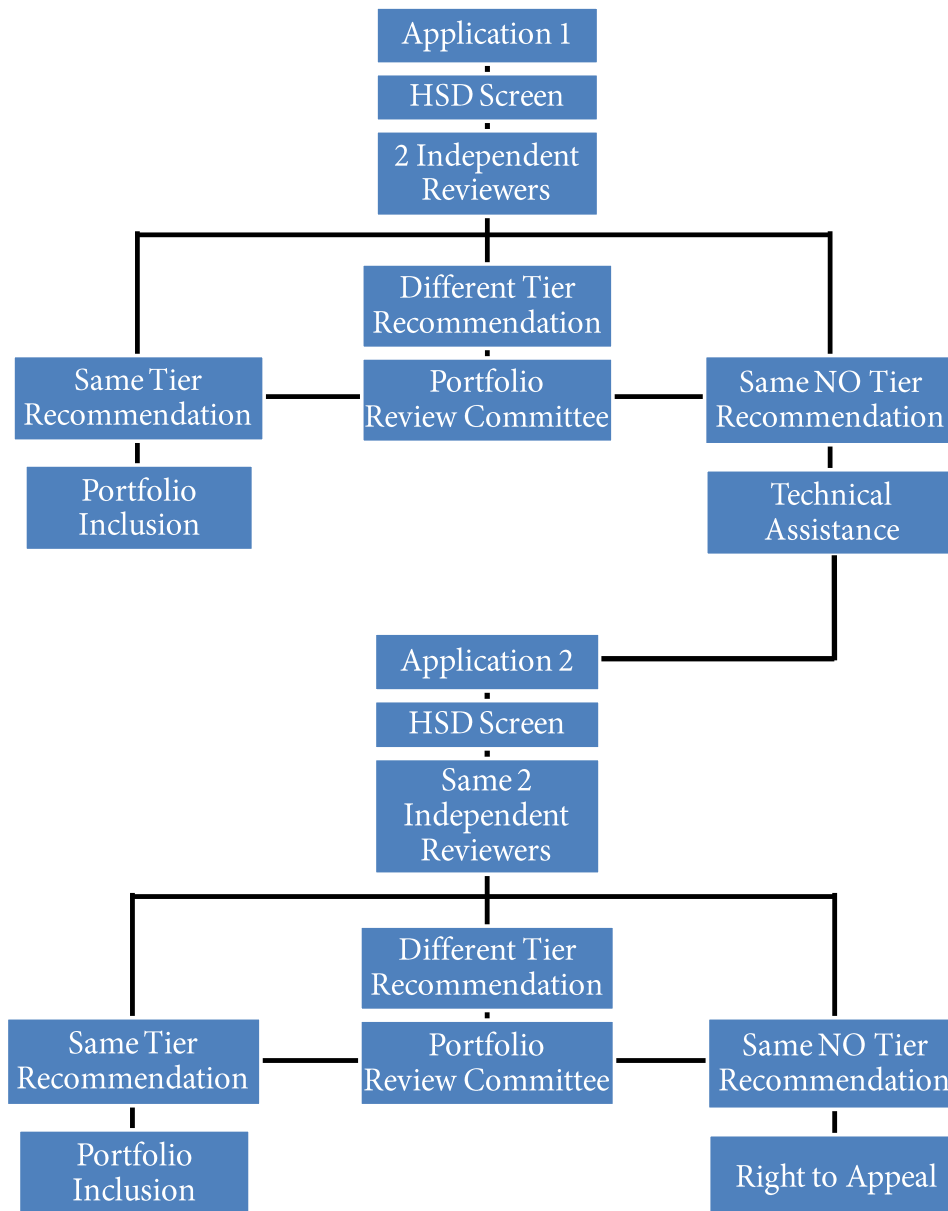




# UPSTREAM INVESTMENTS

*It is easier to build strong children than to fix broken lives.*

## Portfolio of Model Upstream Programs Application Review, Decision and Appeal Process REVISED January 16th, 2013



## I. Program Submission Process

- A. Organizations are invited to submit their program to the Portfolio of Model Upstream Programs via an e-mail to [info@SonomaUpstream.org](mailto:info@SonomaUpstream.org).
- B. Assistance with the submission process is available by calling 707.565.5800 or by e-mailing to [info@SonomaUpstream.org](mailto:info@SonomaUpstream.org).

## II. Program Application Review and Tier Placement Recommendation

- A. When a program is submitted to the Portfolio, the Human Services Department will review for all required documents and the Pre-Requisites and will communicate with the submitting program if anything is missing.
- B. When all required documents and the Pre-Requisites are complete, the Human Services Department will send all submitted materials to two independent reviewers (two members of the Portfolio Review Committee. The Human Services Department will rotate applications evenly through all reviewers.
- C. If either of the reviewers has a conflict of interest or are otherwise unable to complete the review in three business days, they will immediately notify the Human Services department who will send the application to a different reviewer.
- D. The two reviewers will independently conduct a review to determine if the program meets the requirements for the requested (or another) tier placement.
- E. The two reviewers will report their decision to the Human Services Department.

### 1. Unanimous Review Recommendation

- a. If both reviewers independently determine the program fits the criteria for the requested (or another) tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on [www.SonomaUpstream.org](http://www.SonomaUpstream.org).
- b. If both reviewers independently determine the program does not fit the criteria for the requested (or another) tier placement, the submitting organization will be notified that they did not meet the criteria and why. The Human Services Department will offer technical assistance to the organization and invite a revised submission.
  - i. The original two independent reviewers will review the re-submitted information.

- ii. If, with the additional information, both reviewers independently determine the program fits the criteria for tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on [www.SonomaUpstream.org](http://www.SonomaUpstream.org).
- iii. If, with the additional information, both reviewers independently determine the program still does not fit the criteria for tier placement, the submitter will be notified that they did not meet the criteria and why. The submitter will be invited to appeal (described in III. below).

## 2. Non-Unanimous Review Recommendation

If the two independent reviewers do not agree on tier placement, the submission will be brought to the Portfolio Review Committee at the next regularly scheduled meeting for discussion and recommendation decision. A quorum will be required. Following discussion, a vote will be taken. A majority vote is required to carry the decision.

- a. Decision for tier placement: After discussion, if the committee votes that the program fits the criteria for the requested Tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on [www.SonomaUpstream.org](http://www.SonomaUpstream.org).
- b. Decision for non-tier placement: If, the Review Committee votes that the submission does not meet the criteria for the requested tier, the submitting organization will be notified that they did not meet the criteria and why. The Human Services Department will offer technical assistance to the organization and invite a revised submission.
  - i. The original two independent reviewers will review the re-submitted information see 'Application 2' in the flow chart on page 1).
  - ii. If, with the additional information, both reviewers independently determine the program fits the criteria for tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on [www.SonomaUpstream.org](http://www.SonomaUpstream.org).
  - iii. If, with the additional information, both reviewers independently determine the program still does not fit the criteria for tier placement, the submitter will be notified that they did not meet the criteria and why. The submitter will be invited to appeal (described in III. below).

### III. Appeal Process

- A. If, after technical assistance, an organization is not satisfied with their tier placement or non-placement, the organization has a right to appeal of the decision. The organization may appeal the accuracy of the decision but may not appeal the tier criteria. (In other words, they may appeal on the basis that they do in fact meet the criteria, but they may not appeal based on the idea that the criteria should be changed.)
- B. The Portfolio Appeal Committee will receive the appeal.
  - 1. The Human Services Department will appoint a Chair for each Appeal Committee hearing. The Chair will rotate through each of the three members. The Chair shall be announced in the agenda.
  - 2. The organization making the appeal may have two speakers during the appeal hearing.
  - 3. The Human Services Department will deliver an opening statement on behalf of the Portfolio Review Committee not to exceed 15 minutes.
  - 4. The opening statement will be followed by a prepared statement delivered by the organization making the appeal not to exceed 15 minutes.
  - 5. After the two statements, the members of the Portfolio Appeal Committee may ask questions.
  - 6. The Portfolio Appeal Committee will deliberate their decision in the public meeting. There is no closed session.
  - 7. The organization making the appeal may make the closing statement not to exceed 5 minutes.
  - 8. The organization making the appeal will bring four (4) copies of any materials they wish to submit to the Appeal Committee.
- C. The Portfolio Appeal Committee will discuss and make a decision about tier placement. The Portfolio Appeal Committee decision is final.
- D. The Human Services Department will notify the submitting organization of the Appeal Committee decision in writing.
- E. The Portfolio Appeal Committee is a Brown Act Committee.

#### **IV. Communication with Submitter**

Throughout the process, the submitter will receive written communication about their application from the Human Services department which will include, but is not limited to, the following:

- A. Receipt of portfolio application.
- B. Notification of tier placement decision (but not identification of reviewers).
- C. Invitation to receive technical assistance (if applicable).
- D. Notification of right to appeal (if applicable).
- E. Notification of Portfolio Review Committee decision.