

A FUNDER'S GUIDE TO UPSTREAM INVESTMENTS POLICY

Invest Early. Invest Wisely. Invest Together.



How to Use this Guide




The Sonoma County Funder’s Guide to Upstream Investments is intended to provide practical advice to organizations that invest in local Sonoma County programs on how to align with the principles of Upstream Investments. The Guide does not seek to turn funders into evaluation experts or to explain the details of particular research approaches and methodologies.

Rather, it provides a framework, suggestions and tools to help clarify funding guidelines, articulate alignment with Upstream Investments and apply upstream principles to decision-making processes. It is our hope to demystify and engender more clarity around key concepts such as evidence-based practice, cost-benefit analysis, place-based strategy and social return on investment.

The guide includes an overview of the history and structure of the Upstream Investments Policy initiative, a description of the three core Upstream Investments strategies and a detailed explanation of the Portfolio of Model Upstream Programs. A broad range of guidelines and concrete examples are provided to help funders invest internally to integrate Upstream into their work of refining priorities and parameters for giving. The reader will find suggested policies and procedures for requesting proposals, as well as a number of ways that funders can actively partner with Upstream to support capacity building among community service providers.



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“Community Foundation Sonoma County continues to seek ways to make the greatest possible impact in our community through initiatives such as Upstream Investments. We are educating donors about the importance of investing in upstream, evidence-based practices and turn to the Upstream Portfolio when making grant decisions. The Portfolio is an extremely valuable tool for those committed to supporting the best practices in our community.”

KARIN DEMAREST, VICE PRESIDENT FOR PROGRAMS,
COMMUNITY FOUNDATION SONOMA COUNTY

“The Portfolio provides a valuable service to funders by identifying the programs in our community that are proven to work and based on solid research.”

JENNIFER O'DONNELL, VICE PRESIDENT
UNITED WAY OF THE WINE COUNTRY

“The First 5 Sonoma County Commission uses Upstream recognition as one of its criteria for reviewing all applications for funding. Upstream’s tenet of “investing together,” which the larger community of funders is beginning to adopt, is increasing the degree of positive change in children and families’ lives and the return on investment for everyone in Sonoma County.”

ALFREDO PEREZ, EXECUTIVE DIRECTOR,
FIRST 5 SONOMA COUNTY

INTRODUCTION

Sonoma County Funders: Catalysts for Change

Awareness is growing that governments, funders, businesses and partner organizations can significantly improve community conditions by strategically prioritizing funding based on what research has proven to be effective, and then targeting those resources to address the greatest socioeconomic and racial disparities in the areas of health, education and income security. This movement is gaining traction on a national and statewide level¹. The Sonoma County Upstream Investments Policy initiative is becoming nationally recognized as highly innovative in its local focus on prioritizing investments in prevention-focused programs proven to achieve strong outcomes.^{2,3}

HOW DO LOCAL FUNDERS MAKE DECISIONS?

In the past, it was very common for funders to base grant making decisions and agreements on personal relationships, anecdotal observations of program success and intuition about a program’s effectiveness. Terms of funding, particularly for smaller foundations, were sometimes based on a “gentleman’s handshake”, with limited structure to hold the grantee accountable for delivery of specific program outcomes. Moving to a focus on proven outcomes as a driver for giving can be a monumental shift, especially for smaller foundations and businesses, and has significant implications for beneficiaries. Without a solid understanding of the importance and relevance of proving program effectiveness, and lacking resources to build capacity to identify or implement effective programs, funders and grantees alike may become frustrated and overwhelmed by the shift toward an outcomes-driven funding process.

In the past, terms of funding were sometimes based on a “gentleman’s handshake.”

Sonoma County funders are playing a key role in the collective effort to change the culture and context in which we do our work to improve the community. By encouraging, insisting on and supporting beneficiaries to incorporate data-driven thinking into program design and implementation, funders are having an immense influence on the priorities of service providing organizations and the choices they make about how and where to target programs. The Portrait of Sonoma report, released in 2014 by the Department of Health Services, is a powerful tool for funders that are committed to using data to drive decision-making. The Portrait provides a wealth of rich local data that can help identify specific opportunities for impacting particular issues and geographic areas where disparities in health, education and income security are significant.⁴

The effect that Sonoma County’s funders seek to have on our local social problems, such as pockets of significant poverty, a growing achievement gap and health disparities, will not materialize unless we can identify locally relevant interventions that truly work, and then support sustained, high-quality implementation and scaling up of these programs. **By aligning grant making with Upstream Investments Policy, Sonoma County funders are harnessing a powerful opportunity to greatly magnify the impact of their work.**

INVEST EARLY. INVEST WISELY. INVEST TOGETHER!

A Brief History of the Upstream Investments Policy Initiative

In 2007, the Sonoma County Strategic Plan found that the annual cost of the local criminal justice system to the County had risen to comprise over half of the County's general fund. The trend of increasing criminal justice costs was projected to continue and to further diminish discretionary funds that had been historically available to sustain critical services.

In response, the Board of Supervisors chartered a new initiative that served as the foundation of Upstream Investments Policy. An ad hoc committee was formed to investigate existing research and local data to 1) increase understanding of risk factors that influence juvenile and adult criminal behavior later in life; and, 2) identify prevention-focused "upstream" interventions that have been proven to reduce "downstream" criminal justice costs.

For example, the research findings on the long-term impact of child abuse consistently show that young children that have experienced maltreatment are more likely to engage in delinquent behavior at an older age.^{5,6} By implementing upstream and proven strategies that reduce the risk of child abuse, such as Positive Parenting Program (Triple P[®]) the likelihood is reduced that those children will engage in criminal behavior later in life, thus reducing the monetary and societal costs of child abuse.⁷

In 2010, the Sonoma County Human Services Department conducted a pilot of the Portfolio of Model Upstream Programs, a collection of upstream and evidence-based programs being implemented locally. An outreach campaign was launched to raise awareness about the goals of the initiative and the potential benefits of Upstream Investments Policy to organizations, County Departments, businesses, elected officials and the community at large. Sonoma County community-based organizations and County Departments were encouraged to submit a Resolution of Alignment with Upstream Investments Policy (See Appendix A) and to submit applications for their programs to be included on the Portfolio of Model Upstream Programs.

The Upstream Portfolio Review Committee was established at that time to analyze the research regarding the effectiveness of each program submitted for Portfolio approval. This cross-sector committee, with the guidance of Human Services Department staff, developed the original framework for the Portfolio and the specific criteria for approval of programs.



UPSTREAM INVESTMENTS 101

Upstream Investments Policy in 2015

The mission of Upstream Investments Policy is to promote effective and prevention-focused approaches that will ultimately uproot poverty and reduce monetary and societal costs to our community. Five years after the launch, the initiative continues to be sponsored by the Sonoma County Board of Supervisors and is widely supported throughout the community. A 35 member Policy Committee and a 7 member Executive Committee govern the initiative. These committees are composed of community leaders and are appointed by the Board of Supervisors, (see Appendix B for current committee membership). Policy and Executive Committee members act as Upstream Investments ambassadors, leveraging their roles across the public and private sectors, including local funders and business owners.

Since 2007, the scope of Upstream Investments Policy has significantly evolved. Originally focused on prevention programs targeting early childhood, the initiative has gradually expanded to promote prevention of adverse experiences across the lifespan, from prenatal to older adulthood.

The criteria for including programs on the Portfolio of Model Upstream Programs has also been refined and broadened to include programs considered evidence-informed. [Read more about evidence-based and evidence-informed programs on page 19.] The Upstream Portfolio Review Committee continues to perform a core function of the initiative. The Committee is composed of 15 stakeholders who are also appointed by the Board of Supervisors and serve a term of 2 years. Each member is selected based on a high level of expertise in the area of research and program evaluation.

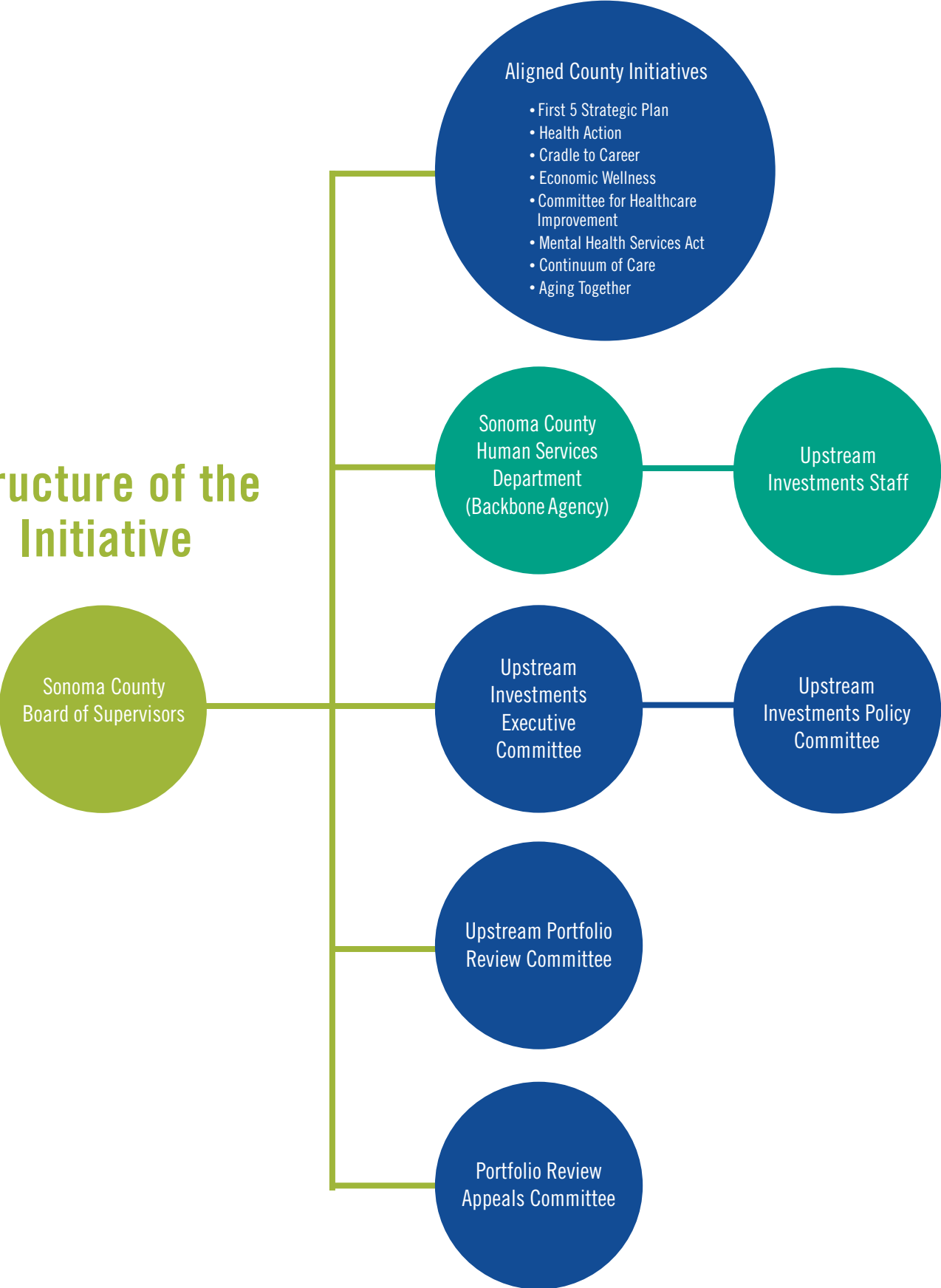
THE PORTFOLIO OF MODEL UPSTREAM PROGRAMS

As of January 2015, 80 unique programs (implemented by 88 organizations) have been approved for inclusion on the Portfolio of Model Upstream Programs, many of which are supported by local public and private funders. (See Appendix C for a list of current Portfolio programs). Programs on the Portfolio currently serve an estimated 10,000 residents across Sonoma County annually, addressing a broad range of needs including early literacy, parenting skills, kindergarten readiness, healthy eating, gang prevention and injury-prevention. As noted, the Portrait of Sonoma can deeply inform decision-making around “place” — neighborhoods and communities that present the greatest opportunities for “moving the needle” on health, education and income disparities. Yet, additional data and analyses are still needed to increase the precision of targeting Portfolio programs toward specific populations, areas, service gaps, increased cost-benefit and other factors. This analytic work is currently underway, a collaborative effort between Sonoma County Department of Health Services and Sonoma County Human Services Department.

BACKBONE SUPPORT

The Human Services Department provides critical “backbone” support that executes the day-to-day management of the project, administrative coordination and organizational capacity building related to outcome-driven programming. Since 2011, the Department has provided thousands of hours of outreach, training and technical assistance, engaging community-based organizations, funders, donors, and County departments to increase organizational capacity and garner support and alignment with the principles of Upstream Investments. Staff and committee members are engaged in ongoing efforts to align and leverage strategies, vision and measurement with complimentary community initiatives, in particular, the work of Health Action and its subcommittees. For detailed information about the goals, activities and opportunities for participating in the work of Health Action, see www.sonomahealthaction.org.

Structure of the Initiative



Upstream Investments Policy:
Three Core Strategies

The three overarching strategies employed by Upstream Investments are Invest Early, Invest Wisely and Invest Together. These strategies drive the activities and priorities of the initiative.

1

INVEST EARLY

“Whenever possible, dedicate funding and other resources to prevention-focused policies and interventions.”

Upstream Investments actively advocates that private and public local resources be invested in prevention-focused approaches across the human life span. Preventing academic underachievement, Adverse Childhood Experiences,⁸ school truancy, obesity, depression, financial insecurity and many other issues will ensure a healthy and vibrant Sonoma County in the future.

Research strongly suggests that investing upstream, particularly in the early years of life, has a far greater cost-benefit and return on investment than funding treatment and safety-net programs that treat problems after they have emerged. For example, Nobel Prize winning economist, Dr. James Heckman, has demonstrated a \$7 return to the economy for every \$1 spent on quality early childhood education.⁹ Although safety-net services are critical to addressing the needs of the most vulnerable individuals and families in our community, the cost of these services continues to rise. This model is unsustainable and does not address the root causes of social issues and disparities. Investing earlier in the course of life, prior to the time when a more serious problem arises, is the more fiscally sound and socially responsible approach.



2

INVEST WISELY

“Ensure that upstream policies and interventions have the highest possible likelihood of success by selecting those that are backed by sound evidence.”

Programs that meet the criteria for the Portfolio of Model Upstream Programs have demonstrated a commitment to evidence-informed practice. The Portfolio is intended, in part, to help local funders easily identify organizations that implement proven programs.

Wise investments are also based on a confident expectation of a strong return on investment and reduced spending on downstream services and systems, such as treatment of chronic and preventable diseases, criminal justice and public benefits. By committing resources to effective prevention programs in the present, we should see a multiplied return in the future: a stronger local economy and re-capture of dollars saved by reducing the need of social services and safety-net programs.

Investments that target communities of need present our greatest opportunity to effectively address the significant disparities in health, education and income in our community using a place-based strategy that leverages community engagement, neighborhood assets and effective programs. Recent data published in the Portrait of Sonoma County and the First 5 Sonoma County 2011 – 2020 Strategic Plan illustrate these geographic pockets of poverty, and inequity in education and health, providing a clear roadmap for funders to identify communities of high need.

3

INVEST TOGETHER

“Focus community-wide upstream policies and interventions on preventing six targeted factors and improving 26 indicators of success under 4 over-arching goals to achieve the Upstream vision, mission, goals and measurable impacts.”

By working collectively to prioritize and promote upstream policies and interventions, Sonoma County will more effectively “move the needle” on health, education and income inequity in our community, measured by improvement in 26 locally-defined Indicators of Success (see Appendix D). The Collective Impact ¹⁰ framework provides the greatest promise to make significant improvements related to the Upstream Investments and other aligned community-wide initiatives, particularly Health Action and Cradle to Career. Cradle to Career is a sub-initiative of Health Action, focused on increasing opportunities for all children to succeed and achieve their life potential. Cross-sector efforts that adopt a shared vision have proven to be highly successful in many other communities.¹¹ Funders are key participants in collective impact, bringing the unique ability to catalyze change through the resources and capacity they bring to the table.



HOW TO USE THE PORTFOLIO OF MODEL UPSTREAM PROGRAMS

The Portfolio of Model Upstream Programs

The Portfolio of Model Upstream Programs, a key component of the Upstream Investments Policy initiative, is a comprehensive collection of outcome-based and prevention-focused programs currently implemented throughout Sonoma County. Programs currently listed on the Portfolio can be found on the Upstream Investments website (upstreaminvestments.org) and in Appendix C of this Guide. All programs included on the Portfolio have been reviewed and approved by the Portfolio Review Committee. To be approved, programs must meet specific criteria regarding the degree of evidence behind the program (see section below, “Portfolio Tier System”). In addition to serving as a local clearinghouse of upstream programs, the Portfolio can be utilized for multiple purposes and has a broad range of benefits for funders and organizations.

BENEFITS AND USES OF THE PORTFOLIO

INCREASE organizational capacity to apply and receive funding for upstream and proven programs

Funders, businesses and donors can easily identify existing effective and cost beneficial programs to **TARGET** resources to these programs

ACKNOWLEDGE the effective work currently being done in Sonoma County to address disparities in health, education and income security

PROMOTE replication of successful and cost-beneficial upstream programs

IDENTIFY and understand the gaps in upstream investments throughout the community (including geographic gaps)

UNDERSTAND what upstream programs work best for which clients (one size does not fit all)

STRENGTHEN public/private collaborations and partnerships related to upstream practice and programs

EXPLAIN to the community why specific programs are prioritized for funding

DEMONSTRATE to taxpayers that the County makes wise, responsible and forward-thinking fiscal decisions.

EXPAND County and public recognition of the value of investing in prevention-focused and evidence-based programs

INCREASE community commitment to upstream programs through volunteerism

The Portfolio can be utilized for multiple purposes and has a broad range of benefits for funders and organizations.



What is “Evidence-Based”?

The term “evidence-based” program or practice is often a cause for confusion among organizations, funders and other stakeholders. (See glossary in this guide for the distinction between “practice” and “program”). Yet, there is no single, firmly established and universally accepted way to precisely define evidence-based practice in the health, human services and education fields. The definition of evidence-based varies widely across government agencies, research organizations and other entities dedicated to promoting outcomes-driven policy and practice. Some definitions are more stringent than others and a variety of processes and frameworks are applied to rating the degree of evidence upon which a program or practice is based.

The determination of whether a program is evidence-based is often based on the degree of rigorous research that has been published in peer-reviewed journals. Program evaluations with “high rigor” use an experimental research design, meaning that participants were randomly assigned to intervention and control group conditions. Although it is generally acknowledged that using a rigorous experimental design provides the strongest evidence of a program’s impact, some researchers maintain that to be deemed proven as effective, programs must not only be experimentally evaluated, but evaluations must be replicated multiple times and show evidence of long-term impacts.

Some researchers include programs that have been evaluated using less rigorous, but well-executed quasi-experimental designs. Others see the benefits of expanding the definition to include program approaches that can be clearly linked to research, but not rigorously proven. These approaches are sometimes referred to as “evidence-informed”. In general, “evidence-informed” refers to programs that are guided by established theory, qualitative studies and findings from basic research.

Relatively few programs have had a replicated, long-term experimental evaluation and, frequently, rigorous evaluations have not been conducted for a particular targeted outcome. For some communities and organizations, an evidence-based program may simply not be feasible to implement (e.g., too costly).

In addition to the rigor of the experimental design, other factors might be considered by experts to identify evidence-based programs. These factors include target population, relevance to the community, consistency with client values and the clinical experience of practitioners.

The determination of whether a program is evidence-based is often based on the degree of rigorous research that has been published in peer-reviewed journals.

Identifying Evidence-Based Programs: [Online Clearinghouses](#)

Online resources designed to inform the selection of evidence-based programs are typically called “clearinghouses”. Examples of these resources include the California Evidence-Based Clearinghouse for Child Welfare¹² and SAMHSA’s National Registry of Evidence-based Programs and Practices (NREPP)¹³. For additional clearinghouses, see “Other Resources” on page 72.

Clearinghouses for identifying evidence-based programs differ widely in their focus, methodology, nomenclature and criteria applied to rate the effectiveness of programs. Some clearinghouses use a numerical scoring schema, while others apply global terms such as “model program”, “promising practice”, “top tier” and of course, “evidence-based practice”. Some sites will rate a particular program as highly effective, while others will rate the same program as unproven. Examining research findings and assessing the criteria used to rate the rigor of evaluation studies can help clearinghouse users make an informed decision. In general, the clearinghouses’ ratings reflect both the rigor of the evidence and the significance of the impact. They also are all based on studies that use randomized control trials or strong quasi-experimental designs and have outcome measures that are valid and reliable.

The Pew-MacArthur Results First Initiative recently published a Clearinghouse Database, cross-walking eight major national research clearinghouses into a “clearinghouse of clearinghouses”. A comprehensive guide is available to support the use of the Results First Clearinghouse Database¹⁴. This one-stop online resource provides policymakers, funders and program implementers with an easy way to find information on the effectiveness of various interventions as rated by the eight clearinghouses.

“Upstream Investments Policy confirms the values in our giving philosophy of funding programs with clear goals, measurement and evaluation that prepare students in levels Pre-K through 12 for future success in college and career.”

LAURA ZIMMERMAN, EXECUTIVE DIRECTOR,
SONOMA VALLEY EDUCATION FOUNDATION



Portfolio Tier System

Upstream Investments employs the Portfolio of Model Upstream Programs to provide a locally defined framework for identifying evidence-based, promising and innovative programs. Portfolio programs are placed on one of three Portfolio “tiers” based on the degree to which local programs meet specific criteria that have been developed by Portfolio Review Committee members together with Upstream staff. The Portfolio tier system and rating criteria are modeled after expert best practices for identifying evidence-based practice, as articulated by the most rigorous clearinghouse frameworks.

Tier 1 : Evidence-Based Practices

Programs on Tier 1 of the Upstream Portfolio are “gold standard” programs. They are programs that have been empirically proven to produce positive outcomes as verified by inclusion on one or more approved evidence-based clearinghouses and are implemented in Sonoma County with “fidelity” to the model program. Evidence-based practices are popular with many funders across the country because there is a high likelihood that the initiative will work as intended.

Often, the more rigorous program evaluations are completed by universities, government agencies and privately funded research institutes. It is less common for a locality to have the necessary resources to complete this level of evaluation. Because clearinghouses generally use similar criteria for determining whether a program is evidence-based, Upstream uses a number of clearinghouses as “proxies” for Tier 1 placement.



Tier 2 : Promising Practices

Promising practices on the Portfolio have been designed based on sound theory, have clear expected outcomes and have been evaluated to show a positive effect. However, these programs do not yet meet the Tier 1 criteria for evidence-based practice, as defined by national and state clearinghouses (see above). The intent of Tier 2 is that program implementers use the evidence reflected in the research to inform the design of their program and use local or third-party evaluation results to drive program improvement. Applicants must develop a “logic model” that clearly illustrates how their program design is outcome-driven. Many Tier 2 programs have been evaluated locally either by the organization itself or a third-party consultant. To be considered a promising practice, the Portfolio Review Committee must agree that the program’s design, manual and evaluation data are clearly aligned, that they reflect the evidence cited in a required literature review and that a completed evaluation suggests positive outcomes.



Tier 3 : Innovative Practices

Innovative practices on the Portfolio are locally developed programs. Organizations implementing approved Tier 3 programs have demonstrated their intent to base their programs on successful outcomes, but have not yet conducted an evaluation. The intent of Tier Two is to encourage program implementers to gradually shift toward data-driven program design and decision-making. Applicants must show that they have used the evidence reflected in the literature to inform program design and they must also submit a sound plan for evaluating their program. To be considered an innovative practice, it will be apparent to the Review Committee that the program design and evaluation plan are aligned and that they reflect the evidence cited in the required literature review.



Local Relevancy & Alignment with Sonoma County Initiatives

In Sonoma County, there are multiple community-wide collaborations and initiatives that have identified common values and indicators of success that are aligned with the principles of Upstream Investments Policy. Programs and strategies approved for the Portfolio target priorities and indicators of success promoted by one or more community-wide collaborations. Including local relevancy in evidence-based practice is sometimes referred to as “value-driven evidence-based practice.”¹⁵

Health Action

Health Action mobilizes community partnerships and resources to achieve ten broad goals of health and wellness through a collective impact approach.

Sonoma County Cradle to Career

Cradle to Career Sonoma County, a sub-initiative of Health Action, engages community partners to coordinate and align the education efforts and resources in Sonoma County to ensure that all of our youth are prepared to succeed.

Committee for Health Care Improvement

A sub-initiative of Health Action that focuses on optimizing systems of health care delivery in Sonoma County, ensuring healthcare that works for all.

Economic Wellness Initiative

A community-based effort to address the vital role economic conditions play in family and community health.

Sonoma County Innovation Action Council

The Sonoma County Innovation Action Council (IAC) is a group of business and community leaders appointed to design programs to help strengthen the Sonoma County economy.

First 5 Sonoma County Strategic Plan 2011-2020

Prioritizes funding for programs that: address critical gaps in services for children 0-5; build on and leverage local assets; proven effective; and, are connected to school readiness.

Santa Rosa Violence Prevention Partnership

(Previously the Mayor’s Gang Prevention Task Force)

A vision to reclaim Sonoma County’s youth for their families, schools, communities and futures by focusing on Awareness, Prevention, Intervention, Enforcement, Re-entry, Regionalization, and Measurement/Metrics.

Aging Together

A cross-sector collaboration focused on creating healthier, safer Sonoma County communities where older adults can choose to “age in place” and connect with neighborhood and community life.

Sonoma County Continuum of Care

Sonoma County’s Continuum of Care is comprised of a broad coalition of nonprofits, public agencies, business organizations and private individuals working together to combat homelessness.

Aiming High Initiative

The Aiming High initiative works with Sonoma County schools to close the achievement gap for English learners.

Mental Health Services Act

Mental Health Services Act (MHSA) funding in Sonoma County, administrated by Sonoma County Department of Health Services, funds a broad continuum of prevention, early intervention and services, and the necessary infrastructure, technology and training elements to effectively support local mental health services system.

Prevent Child Abuse Sonoma

Prevent Child Abuse Sonoma County is a community effort to prevent and respond to child abuse. The Child Parent Institute (CPI) serves as the lead in coordinating the countywide efforts of our local child abuse prevention council.

Sonoma County BEST

Building Economic Success Together is a program designed to provide businesses with the information, resources and assistance needed to grow and succeed. Devoted to inspiring job growth in Sonoma County, BEST focuses on promoting business retention and expansion, attracting new business, and supporting innovation and entrepreneurship.

Child Care Planning Council

The mission of the Child Care Planning Council (CCPC) of Sonoma County is to convene and inspire the community through collaboration, leadership, and advocacy to promote and plan for quality childcare and development for the benefit of all children (birth to 18), their families and Sonoma County.



INTEGRATING UPSTREAM PRINCIPLES INTO THE GRANT MAKING PROCESS

Integrating Upstream Principles into the Grant Making Process

Like any systems change initiative, the overarching goal of Upstream Investments Policy is a shift in culture. Funders play a critical role in culture change as they are in a position to model and support gradual shifts in behavior, this case, toward more outcome-driven practice. Alignment of local grant making with Upstream Investments offers great potential for philanthropic organizations, government and businesses to support ongoing innovation, outcomes-driven programs and services, and in the future, collaborative scaling up of effective interventions. To achieve this, funders need to be willing to expand their capacity and to shift their own practices and policies.

The three primary categories of funder alignment with Upstream Investments are:

- 1 capacity building for funders
- 2 capacity building for grantees
- 3 enhancing the actual grant making or donation process

It is critical to understand that one size does not fit all; there is no one correct or recommended method, activity or tool to align with Upstream Investments. Each organization, business and agency has unique characteristics that impact how they interact as funders with the larger system and community. Characteristics include size of the organization, budget, size of grants, donor interest areas and whether funds are public or private.

It is critical that funders partner with organizations to encourage and support their efforts to build capacity.



1

CAPACITY BUILDING FOR FUNDERS

Investing Internally: Funders, Donors, Boards and Businesses

Expanding knowledge and skills related to outcomes-driven practice is a critical component of funder alignment with Upstream Investments. There are numerous ways to invest internally by building the capacity of donors, Board members, business owners and especially key staff of funding organization. Taking advantage of training and customized technical assistance from Upstream staff is highly recommended. But, direct engagement with Upstream Investments community leadership opportunities is probably the most effective way to build the capacity of funding representatives. Not only does involvement provide a venue for ongoing learning and communication with fellow champions of the initiative, but signals to beneficiaries that the organization is committed to supporting proven and prevention-focused programs.

HOW TO BE A CHAMPION OF UPSTREAM INVESTMENTS

ENCOURAGE agency Board of Directors or other governing body to develop a Resolution of Alignment with Upstream Investments Policy (see Appendix A)

SERVE on the Upstream Investments Policy Committee or attend as a member of the public

ATTEND Portfolio Review Committee meetings to learn about the Portfolio approval process

TALK to stakeholders and other funders about upstream principles and evidence-based practice

SIGN UP for the quarterly Upstream newsletter and share it with colleagues and stakeholders

HELP Board members understand how local initiatives and frameworks are related and how that understanding can support achieving the organization's goals

2

CAPACITY BUILDING FOR GRANTEES

Investing in the Capacity of Grantees, Proposers and Other Funding Beneficiaries

Upstream Investments provides a very structured framework and concrete tools to support stakeholders who see the value of aligning with the initiative, particularly the Portfolio of Model Upstream Programs. As described above, the Portfolio serves as an excellent resource for funders, as they can rely on the Portfolio Review Committee and the established approval process to identify proven programs. However, it is critical to understand that inclusion on the Portfolio is not an absolute necessity for achieving the overarching goals of the initiative.

Although the Portfolio is a powerful vehicle to locally institutionalize outcomes-driven and prevention-focused approaches to solving our community's issues, the underlying intention is that organizations learn how and then consistently use data to make decisions about services and programs. Applying to the Portfolio may or may not be an appropriate investment of resources for every organization. Developing an application can be a time-consuming process that can even deplete services for clients, especially within very small organizations with minimal staff. What ultimately matters is that organizations gradually build the necessary capacity to collect, analyze and use data to measure and improve program outcomes.

FROM OUTPUTS TO OUTCOMES: FUNDER SUPPORT FOR ORGANIZATIONAL CHANGE

In order to shift toward a more outcomes-driven culture, it is absolutely necessary that funders hold organizations accountable for measuring and proving positive program outcomes. However, it is unrealistic to expect organizations, especially those with limited staff capacity, to begin evaluating programs overnight. It is unfortunately common for funders to increase their expectations of organizations to measure outcomes, yet fail to recognize the need to support the real costs of quality program evaluation. As the expectation to show positive outcomes increases, it is critical that funders partner with organizations to encourage and support their efforts to build capacity.

To this end, funders should support grantees to access a reliable and user-friendly database system or other method to collect, analyze report on basic outcomes measures. However, access to a system doesn't necessarily mean that evaluation data will be high quality. Grantee-provided data are typically more reliable when the grantee sees the data as useful for understanding and improving their programs. If a funder requires grantees to prove measurable program outcomes, grantees should also be encouraged and supported to use the data for continuous quality improvement.

UPSTREAM INVESTMENTS TRAINING & TECHNICAL ASSISTANCE OPPORTUNITIES

Capacity building for provider organizations can take many forms, ranging from developing the skills of existing staff to funding an expansion of an organization's available resources in order to support the increased demands of program evaluation. Upstream Investments staff provides ongoing basic learning opportunities at no cost to Sonoma County organizations, including trainings, workshops, peer learning circles and customized technical assistance on many topics related to outcomes-driven program planning and evaluation. These opportunities are generally focused specifically developing an application to submit a program to the Portfolio. Grantee organizations are also encouraged to engage directly with the initiative for ongoing learning and leadership opportunities.



“Investing early in our young people and their families has been proven to be the most effective method of combating long term poverty and disenfranchisement. When children are engaged and supported from a young age, they gain the tools to resist peer pressures leading to antisocial and criminal activities. Our early investment yields successful outcomes, reduces our future criminal justice costs, and results in a happier, healthier, more engaged Sonoma County.”

**EFREN CARRILLO, FIFTH DISTRICT SUPERVISOR
FORMER UPSTREAM EXECUTIVE COMMITTEE MEMBER**

HOW TO BUILD GRANTEE CAPACITY

TECHNICAL ASSISTANCE AND TRAINING

- Partner with Upstream Investments to build grantee skills related to the development of logic models and evaluation plans
- Encourage or require grantees to submit programs to the Portfolio, paired with the appropriate level of support and resources
- Support grantees and proposers to successfully meet the Portfolio criteria by hosting Upstream workshops
- Refer grantees and proposers to Upstream staff for customized technical assistance to apply to the Portfolio
- Provide direct assistance to grantees to prepare their Portfolio application
- Invite Upstream Investments staff to present at pre-proposal meetings or bidder's conferences

DIRECT SUPPORT FOR EVALUATION ACTIVITIES

- Allow proposers to include evaluation costs in grant budgets (staff time, software, consultants, etc.)
- Provide third-party evaluation consultants at no cost to the grantee
- Partner with other funders to leverage costs of third-party evaluation
- Provide access to cloud-based technology to store program data and track program outcomes
- Partner with Sonoma County Human Services and other funders to support the cost of staffing support for the implementation of Upstream Investments
- Fund grantees to attend conferences, training and certification to implement specific evidence-based practices

PARTNER WITH GRANTEEES TO IMPLEMENT CONTINUOUS IMPROVEMENT

- Help grantees and proposers understand the benefit of evaluation to their agency and especially to the communities they serve
- Encourage grantees to participate in the Upstream Shared Data project, which includes use of the Apricot database at no cost to the organization
- Reward innovation and “failing forward” by working with funded agencies on using outcome data for program improvement
- Encourage grantees to learn and implement a model to improve quality in an ongoing way, such as Continuous Quality Improvement (CQI) or Plan, Do, Study, Act (PDSA)
- Acknowledge that small organizations, school districts and geographically isolated providers tend to have less capacity and minimal resources for evaluation and Portfolio application development

3

ENHANCING THE GRANT MAKING OR DONATION PROCESS

Integrating Upstream into Funding Policies

A gradual approach to the integration of Upstream into funding policies is recommended, allowing for enough time to build capacity and gain buy-in from all key stakeholders, including donors and board members. As discussed earlier, it is critical that grantees and future proposers are supported as policies change in order to more firmly institutionalize outcome-driven planning and practice. Many factors such as grantee organizational capacity, size of grants and donor interest area should be carefully considered when implementing a change in grant making guidelines that might increase the burden on the organization seeking funding.

KEY CONSIDERATIONS

AMOUNT of funding available and size of grant or donation

Degree of **COMPETITION** for available funding

CURRENT CAPACITY of typically funded organizations to evaluate programs and/or complete a Portfolio application

Current capacity of **SPECIFIC SECTOR** (i.e. schools, services for early childhood, youth, homeless) to evaluate programs and/or complete a Portfolio application

Funder interest in **INNOVATIVE** and untested programs (i.e., pilot programs)

Funder interest in **PROVEN** programs (i.e., evidence-based and evidence-informed)

SECTOR MAKEUP of Board of Directors

Available **RESOURCES** to support capacity-building activities

Available resources to provide **THIRD-PARTY EVALUATION** and/or access to a database system

Availability of **EVIDENCE-BASED** programs that address the funder’s area of interest

ALIGNING DECISION-MAKING PROCESSES WITH UPSTREAM PRINCIPLES

REQUEST customized technical assistance from Upstream Investments staff to guide alignment with upstream principles and recommend language for RFPs or other communications

BECOME familiar with programs on the Portfolio

ATTEND annual community presentations on Upstream hosted by Sonoma County Supervisors

PARTICIPATE in the Sonoma County Funders’ Circle to help build and implement a shared vision of alignment with Upstream Investments

PARTNER with Upstream staff to educate donors and Board members

INTEGRATE Upstream Investments principles and tools into strategic planning

INTEGRATE the goals and principles of aligned Sonoma County initiatives into strategic planning

USE DATA TO DRIVE DECISIONS

LEARN about and use the data in the Portrait of Sonoma, the Upstream Investments Indicators of Success and the Portfolio of Model Programs to effectively identify practices and programs that address areas of funder/donor interest

BECOME FAMILIAR with the return on investment for specific practices and programs

Read articles and **ATTEND WORKSHOPS** and webinars on:

- Collective impact
- Evidence-based practice
- Evaluating grantee performance
- Catalytic philanthropy
- Cost-benefit and return on investment of prevention

Applications for Funding

As all funders know, application materials are a primary vehicle to communicate with potential grantees about their interests and priorities. As such, documents used to implement funding policies with prospective beneficiaries are key tools for aligning funding with Upstream Investments. These include **Requests for Proposals (RFPs)**, and **Letters of Interest or Inquiry (LOIs)**, as well as grant applications, logic model templates and evaluation plan requirements. By requiring or encouraging proposers to engage in activities related to outcome measurement or activities specific to Upstream Investments, funders incentivize changes in organizational behavior.

There is a continuum of options for aligning application materials and process with Upstream, ranging from language about funder priorities, informational questions, “bonus” scoring and requirements. Again, a gradual approach is recommended, especially if funder interests have significantly and rapidly shifted in the direction of outcomes-driven and/or prevention programs. **A sample plan for gradual alignment along this continuum can be found on page 35.**

Funders can support proposers to leverage capacity building, Upstream participation and grant proposal development by utilizing a same or similar logic model template that is provided by Upstream for application to the Portfolio. Using the same template can save grant applicants valuable time and resources by helping them to avoid redundancy and duplication of efforts.

To avoid confusing prospective grantees, it is critical to use consistent, clear and “user-friendly” language about Upstream, ideally aligned with language used by other local funders. Vocabulary such as “outcomes”, “evaluation”, “impact”, “prevention” and other terms can mean different things to different funders and organizations and can be challenging to explain in a concrete manner. Consulting with Upstream Investments staff and coordinating with fellow local funders can help to support consistency across funding organizations and businesses.

It is equally as important to use consistent and clear language when recommending Portfolio programs to donors and volunteers. Too much jargon can cloud understanding and undermine “buy-in”, so it is critical to invest in capacity building for staff, Board members and other representatives of funding organizations whose role includes communication with stakeholders, developing application materials or reviewing proposals.

Another key consideration is that application requirements specifically related to outcome measurement and participation in Upstream must be communicated clearly to individuals that will review and score those materials. For example, if the funder is requiring that an applicant's program must be including on the Portfolio, it is critical that reviewers have access to a current list of Portfolio programs.

For examples of RFP and application language that reflects alignment with Upstream Investments, see Appendix E. Note that the examples are edited excerpts from local RFPs, applications and application review guidelines and do not represent the entire official documents utilized by local funders.



Contracts

Contract development is also an opportunity to refine and strengthen the program model and evaluation plan.

Once a program is awarded funding, the funder’s focus shifts to monitoring and supporting the measurement and ongoing improvement of funded programs. The contract should reflect the proposed program strategies, desired outcomes and plan for measurement as was described in the organization’s application. However, contract development is also an opportunity to refine and strengthen the model of the program and the evaluation plan.

If participation in a specific Upstream activity was required in the application process, it is important to reiterate those requirements in the contract as an ongoing expectation. For example, if a funding requirement was that a proposed program be on the Portfolio, the contract should reflect that the program is required to continue to remain on the Portfolio, and that the organization meet whatever Portfolio renewal requirements might come up in during the funding term.

STRATEGIES FOR CONTRACT MONITORING

Site visits to programs for the purpose of contract monitoring, donor observations or other face-to-face meetings related to funded programs should include a discussion of upstream principles, especially when discussing performance and evaluation-related issues. Contract monitoring is a major leverage point for providing ongoing capacity-building as a component of the funder-grantee relationship. When program data indicate that the desired outcomes are not being achieved, that data can then be used to analyze and improve the program and employ a “failing forward” approach that encourages innovation and ongoing improvement. Funders have the opportunity to shift the focus of contract monitoring to one of shared responsibility for the success of a program.



Sample Plan for Gradual Integration of Upstream into Funding Policies

YEAR 1	YEAR 2	YEAR 3	YEAR 4
<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div></div>
<div><ul style="list-style-type: none">• Include an informational question on the grant application regarding whether the proposed program is on the Portfolio and/or whether the organization has other programs on the Portfolio. (This question is intended to educate applicants that the funder places value in the principles of Upstream Investments.) The Portfolio can be viewed at www.upstreaminvestments.org.• Require applicants for funding to submit a Resolution of Alignment from their Board of Directors (see Appendix A).• Require applicants to attend an informational presentation on Upstream Investments. (This could be leveraged with a bidder’s conference or other gathering of prospective grantees.)• Host an informational presentation by Upstream Investment for donors, Board members and other stakeholders.</div>	<div><ul style="list-style-type: none">• Require applicants to demonstrate how the indicators for achieving their program outcomes are connected to the Upstream Indicators of Success (See Appendix D)• Require applicants to submit a logic model with their application or proposals and host a mandatory Upstream training on logic model development.• Implement a contractual requirement that successful grantees must be approved for the Upstream Portfolio (any Tier) by the end of a specific window of time and link grantees with Upstream Investments for technical assistance.• Internally prioritize funding for programs on the Portfolio, but do not require of proposers.</div>	<div><ul style="list-style-type: none">• When scoring proposals for funding, offer bonus points for programs currently on the Portfolio.• Require applicants to submit a detailed logic model and evaluation plan.• Require applicants to provide a narrative description of how they will track and measure their progress.• Implement a contractual requirement that successful grantees must be approved for the Upstream Portfolio (any Tier) within three months.</div>	<div><ul style="list-style-type: none">• Require applicants to have programs on the Portfolio upon submission of a grant proposal.</div>

Two Local Examples of Funder Alignment with Upstream Principles

1

First 5 Sonoma County

First 5 Sonoma County, an “early adopter” of Upstream Investments, exemplifies the integration of upstream principles into funding policies. Our local First 5 is part of a statewide network of county First 5 Commissions created to provide California’s children with the best opportunities for physical, emotional, cognitive and social development.

All First 5 Commissions are required to create and implement a strategic plan with measurable outcomes for programs using appropriate and reliable indicators and evaluation processes. A primary guideline for developing the First 5 Sonoma County 2011-2020 strategic plan was to maximize return on the Commission’s investments by funding model programs and evidence-based practices. The plan includes a logic model referred to as the Pathway to Results. Programs successfully funded by First 5 Sonoma County must align with the outcomes in the Pathway.

First 5 Sonoma County was an “early adopter” of the integration of Upstream into funding policies. In the early years of the initiative, First 5 staff and Commission members were directly engaged in the development of the Upstream initiative and criteria for the Portfolio of Model Upstream Programs. The first several evidence-based programs on the Portfolio were funded by First 5 and continue to be integral to achieving First 5’s strategic goals. These programs include Nurse Family Partnership,¹⁶ Triple P¹⁷ and AVANCE.¹⁸

As of January 2015, First 5 supports fourteen distinct programs, nine of which are on Tier One or Tier Two of the Portfolio. (Organizations implementing the remaining five programs are actively working on developing the components necessary for Portfolio applications.) First 5 took a gradual approach to implementing specific grant making policies and processes requiring participation in the Upstream Portfolio. Initially, a Resolution of Alignment was required of all proposers. Once the Portfolio process was in place, First 5 awarded bonus points to proposers of Portfolio programs. Since 2014, all prospective grantee programs must either be on the Portfolio or demonstrate pending Portfolio approval.

First 5 is dedicated to building the capacity of grantees and prospective grantees to evaluate their programs. Staff resources include a full-time Evaluation Manager. The Commission continues to fund a third-party evaluator to support most funded organizations. In 2012, First 5 began implementation of a cloud-based database system to support efforts to measure outcomes and use data for quality improvement. Staff and Commission members have consistently been represented on Upstream committees and are active champions of the initiative in the community. Staff members encourage funding applicants to take advantage of Upstream’s no-cost training and technical assistance.

2

Sonoma Wine Country Weekend

Sonoma Wine Country Weekend (SWCW), jointly produced by the Sonoma County Vintners and the Sonoma Valley Vintners & Growers Foundation, takes place annually during the last week of August. All proceeds from the weekend events benefit local charities. Events include a variety of wine and food events, as well as a large wine auction, which is now in its 22nd year. The weekend is Sonoma County’s largest charity fundraising event, bringing together over 200 of Sonoma’s top winemakers and growers, and local chefs. Since its inception, Sonoma Wine Country Weekend has raised over \$12 million for charities that benefit students, children, farm workers and people in need in Sonoma County communities.

Sonoma County Vintners and the Sonoma Valley Vintners & Growers Foundation have agreed on key principles to guide their funding decisions with a view towards sustainability for the beneficiaries and prioritizing programs that focus on prevention. Beginning in 2014, funding is also prioritized for programs that are evidence-based and all funded programs must be able to demonstrate measurable positive outcomes. Areas of interest for the Vintners include protection of the local environment; youth and child development; early literacy; summer and after-school activities; child nutrition and hunger; family self-sufficiency; and, community-based health services.

Each year, the Sonoma County Vintners and Sonoma Valley Vintners and Growers collaborate to select beneficiaries for the funds raised from Wine Country Weekend. Guidelines for decision-making have evolved and have gradually become more targeted. In 2014, proceeds from SWCW funded over 40 organizations through grants varying in size from \$10,000 to over \$200,000 multi-year grants. The larger grants are part of SWCW’s “Fund the Future” effort, dollars raised specifically from the wine auction and targeted to support a handful of children’s literacy programs that are proven to be effective. The Vintners have committed to increasing the number of Sonoma County children who are able to read at grade level in 3rd grade, a major indicator of future educational and career success. They have set an ambitious goal to increase the countywide third-grade literacy rate to 90% by 2018.

Recognizing that changing the future for at-risk children will improve the quality of life for our community, the Vintners are also informed by data showing how closing the literacy gap is a smart investment: estimated at over \$800 million in increased economic output, thousands of jobs, and \$53 million in new revenue in the next ten years. In 2013, the Fund the Future block at the wine auction raised a record \$700,000+ in contributions for third-grade literacy programs. The five Fund the Future beneficiaries were selected not only because of their focus on early literacy, but because they are all proven to be effective. The grant makers utilize the Upstream Portfolio and consult with Upstream staff to help identify these programs, leveraging the work of Upstream to ensure that their investments are directed at evidence-based and evidence-informed practices.

INVEST EARLY INVEST WISELY INVEST TOGETHER

Call to Action

By strategically prioritizing funding based on what research has proven to be effective, and then targeting those resources to address our local disparities in health, economic security and education, local investments can significantly improve community conditions. The overarching role of Sonoma County funders is to catalyze the impact of their giving through careful and informed decision-making that incorporates data about effectiveness, cost-benefit, place and local relevance. Funders play a critical role in supporting their beneficiaries to increase their capacity to evaluate their programs and to use data to improve their programs. By investing early, investing wisely and investing together, Sonoma County funders are magnifying the impact of their work to achieve the most significant returns on their investments in the future.



GLOSSARY

Key Terms to Deepen Your Understanding

Cost-benefit analysis (CBA): an analysis of return on investment that provides a basis to compare the upfront investment in a program intervention with the benefits (including reduced spending on downstream services) that are spread over time. A relatively expensive program could pay for itself if it leads to significantly reduced future use of costly public services. Alternatively, programs that have relatively modest impacts might produce a positive return on investment if the cost of the program intervention is low.

Cost-effectiveness analysis: monetary cost per unit of outcome (for example, per placement of a participant in a job or per high school graduate). It provides a useful benchmark for comparisons with alternative approaches serving the same population.

Collective impact: the commitment of a group of stakeholders from different sectors to a common agenda for solving a complex social problem.

Data-driven (or outcome-driven): when progress toward a desired outcome or change is compelled by properly collected and reliable data, rather than by intuition or personal experience.

Downstream: short-term, problem-specific, individual-based interventions such as incarceration, hospitalization for poor health, or removal of a child from the home because of abuse allegations. Downstream programs are critical to address the most vulnerable people in our communities, but investing in effective approaches that are preventative will decrease the need for downstream interventions over time.

Evidence-based: most commonly thought as an approach or program that is proven effective by experimentally-designed research using well-implemented randomized controlled trials that can be replicated.

Evidence-informed: programs or approaches that are clearly linked to research, but not proven by rigorous research using an experimental design. Evidence-informed programs are often guided by established theory, qualitative studies and findings from basic research.

Fidelity: extent to which a program is implemented in a way that adheres to the model of the originally developed and evaluated program.

Logic Model: a map or simple illustration of what a program does, what the program hopes to achieve, and how the program will measure achievement. A quality logic model reflects the findings from the literature review. Evaluation questions should be based on the outcomes identified in the logic model.

Literature Review: a summary and synthesis of current and credible literature on a specific topic, issue, or practice method. It is a survey of scholarly articles, books and other sources that are relevant to the subject.

Place-based strategy: a collaborative process by cross-sector stakeholders to address issues as they are experienced within a specific geographic space, such as a neighborhood or city.

Practice: a general category of programs, strategies or procedures that share similar characteristics with regard to the issues they address and how they address them.

Program: a specific intervention or strategy that employs consistent curriculum, techniques and procedures, generally accompanied by a manual.

Randomized control trial: the most rigorous experimental design in which subjects are assigned to either a group that receives the program being tested or to a control group that does not take part. If the assignment process is truly random and the research sample is large enough, there should be no systematic pre-program differences between the participant and control groups. Any statistically significant differences in outcomes can therefore be confidently attributed to the effects of the program.

Quasi-experimental design: quasi-experimental design is one that looks like an experimental design but lacks random assignment.

Risk Factor: risk factors or determinants that statistically correlate to (but not necessarily proven to cause) negative individual, family or community conditions.

Social return on investment (SROI): improved social outcomes (such as children reading at grade level, improved graduation rates or less reliance on public assistance) that are a result of money invested in strategies or programs to achieve those outcomes.

Target Population: defined according to characteristics such as race/ethnicity, country of origin, gender, age, neighborhood characteristics or socioeconomic status.

Upstream approaches: programs, initiatives, and other prevention-focused activities that are put in place early in the life cycle or prior to when a problem occurs that reduce the need for intervention in the future.



APPENDICES



Appendix A

Upstream Investments Resolution of Alignment

Organizations are invited to use this template as they develop a resolution aligning their organizational practices with the Upstream Investments Initiative. Organizations are encouraged to use their own wording and their own resolution format as appropriate.

[ORGANIZATIONAL LOGO OR LETTERHEAD]

UPSTREAM RESOLUTION of ALIGNMENT

Aligning [ORGANIZATION] Practices and Activities
With the Upstream Investments Policy Initiative

RESOLUTION of [ORGANIZATION]

The following sample “WHEREAS” statements can be used in whole or in part depending on which parts of the Upstream Initiative the Organization feels most closely aligned with.

WHEREAS, the County of Sonoma is sponsoring a community-wide strategic initiative called Upstream Investments with the following mission: To facilitate the implementation of prevention-focused policies and interventions that increase equality and reduce monetary and societal costs for all residents of Sonoma County.

WHEREAS, the Upstream Investments vision for all residents of Sonoma County is that poverty is eliminated and all people have an equal opportunity for quality education and good health in nurturing home and community environments.

WHEREAS, the Upstream Investments Initiative is designed to target the following factors:

<u>Social and economic factors</u>	<u>Family and individual factors</u>
Poverty and racial/ethnic disparities	Family dysfunction
Community conditions	Negative peer influences
Public opinion, public policy, and laws	Early antisocial behavior

WHEREAS, the Upstream Investments Initiative seeks to promote four community goals:

1. The whole community is engaged in supporting the healthy development of children.
2. Community members have access to education and training and are adequately prepared for the challenges of the future.
3. All community members are well sheltered, safe, and socially supported.
4. Sonoma County has a thriving diverse economy that produces economic security for all.

WHEREAS, the Upstream Investments Initiative seeks to expand funding for Model Upstream Programs and also seeks to promote organizational practices that support the Upstream Vision.

WHEREAS, the Upstream Investments Strategic Initiative promotes the implementation of outcomes-based practices including Evidence-Based Practices, Promising Practices and Innovative Practices.

WHEREAS, Twenty-six indicators of success will inform the community about the success of Upstream Investments.

1. Reduced child maltreatment
2. Reduced youth binge drinking
3. Reduced youth drug use
4. Reduced youth depression
5. Reduced youth tobacco use
6. Reduced teen births
7. Reduced obesity
8. Improved pre-school attendance
9. Improved 3rd grade reading
10. Improved 3rd grade math
11. Improved high school completion
12. Improved higher education
13. Improved housing affordability
14. Reduced homelessness
15. Reduced juvenile arrests
16. Reduced adult arrests
17. Reduced domestic violence
18. Reduced gang membership
19. Improved youth connectedness
20. Reduced poverty
21. Reduced unemployment
22. Improved health insurance rates
23. Reduce hip fractures
24. Increase fruit and vegetable consumption
25. Increase physical activity
26. Increase dental care for children

NOW, THEREFORE, BE IT RESOLVED that [ORGANIZATION] shares the Upstream Investments mission, goals, commitment to improving the indicators of success, and vision and has aligned its organizational practices with the Upstream Investments Initiative as follows:

The organization should write one or more statements that specifically illustrate how the organization is aligned with the Upstream Investments Initiative.

- ✓ Explain how the Organization’s mission/vision are aligned with the Upstream mission/vision.
- ✓ List which Upstream Indicators of Success are promoted by the organizations practices and programs.
- ✓ Make a commitment to submitting the Organization’s programs to the Portfolio of Model Upstream Programs. Or, list the Organizations’ programs that are already on the Portfolio of Model Upstream Programs.
- ✓ Identify the level of Organizational funding dedicated to upstream investments.
- ✓ Describe any organizational practices that reflect upstream principles (such as strategic planning, policies, budget activities, resource deployment, or contracting).
- ✓ Describe collaborations with other organizations that promote Upstream Investments.
- ✓ List ways that the Organization is promoting community-wide knowledge and understanding of Upstream Investments (such as posting a link to SonomaUpstream.org on the Organization’s website or including Upstream Investments in Organizational publications).

Approved and adopted the ____ day of _____ 20 __. I, the undersigned, hereby certify that the foregoing Resolution Number ____ was duly adopted by the [ORGANIZATION GOVERNING BODY] Following Roll Call Vote:

Ayes: _____

Nos: _____

Absent: _____

Clerk/Secretary for [ORGANIZATION GOVERNING BODY]



Appendix B

Upstream Investments Committee Membership

Upstream Investments **Policy Committee Members** April, 2015

NAME	ORGANIZATION	TITLE
Susan Gorin, 1st District	Board Of Supervisors	County Supervisor
Shirlee Zane, 3rd District	Board Of Supervisors	County Supervisor
Jerry Dunn (Project Sponsor)	Human Services Department	Department Director
Kathleen Kane	Community Development Commission	Executive Director
Vacant	County Administrators Office	Deputy County Administrator
Barbara Fitzmaurice	County Counsel	Deputy County Counsel
Jennifer Traumann / Gigi Mertle	Department of Child Support Services	Director/Program Planning Analyst
Jen Lewis	Department of Health Services	Health Action Program Manager
Brian Vaughn	Department of Health Services	Division Director
Tammy Chandler	Department of Health Services	Assistant Director
Brian Staebel	District Attorney	Chief Deputy District Attorney
Ben Stone	Economic Development Board	Economic Development Coordinator
Alfredo Perez	First 5 Sonoma County	Executive Director
John Hartwig	Information Services Department	Director
David Koch	Probation	Deputy Chief Probation Officer
Kathleen Pozzi	Public Defender	Public Defender
James Nantell	Regional Parks	Director
Heidi Keith	Sheriff	Administrative Services Director
Karen Shimizu	Catholic Charities	Director of Operations
Carol Simmons	Child Care Planning Council	Coordinator
Tim Reese	Community Action Partnership	Executive Director
Karin Demarest	Community Foundation	Vice President for Programs
Marrianne McBride	Council on Aging	President and CEO
Carley Moore	Drug Abuse Alternatives Center (DAAC)	Associate Executive Director
Robin Bartholow	North Coast Builders Exchange	Workforce Development Director
Amber Twitchell	On the Move -- V.O.I.C.E.S.	Program Director
Mick Menendez	Pacific Advisors	Director of Advanced Planning
Elece Hempel	Petaluma People Services Center	Executive Director
Socorro Shiels	Santa Rosa City Schools	Superintendent
Craig Schwartz	Santa Rosa Police Department	Captain
Steven Herrington	Sonoma County Office Of Education	Superintendent of Schools
Mike Kallhoff	United Way of the Wine Country	President and CEO

Upstream Investments Executive Committee Members April, 2015

NAME	ORGANIZATION	TITLE
1. Susan Gorin, 1st District	Board Of Supervisors	County Supervisor
2. Jerry Dunn (Project Sponsor)	Human Services Department	Director
3. Rita Scardaci	Department of Health Services	Director
4. Jill Ravitch	District Attorney's Office	District Attorney
5. Tim Reese	Community Action Partnership	Executive Director
6. Elizabeth Brown	Community Foundation Sonoma County	President and CEO
7. Stephen Herrington	Sonoma County Office of Education	Superintendent of Schools

“Recent changes in the criminal justice system make investing upstream more important than ever. With the shift from incarceration to rehabilitation it’s critical to know that we’re investing in interventions that are proven to be effective.”

JILL RAVITCH,
SONOMA COUNTY DISTRICT ATTORNEY



Portfolio Review Committee Members April, 2015

CATEGORY	NAME	TERM ENDING
County Administrator's Office Up to 1 member	Rebecca Wachsborg, County Administrator's Office	3/30/16
Health and Human Services Up to 4 members	Katie Greaves, Human Services Department Ellen Bauer, Department of Health Services Julie Sabbag-Maskey, Human Services Department Megan Sirna Human Services Department	3/30/15 4/08/16 3/30/15 3/31/17
Criminal Justice Up to 4 members	Leo Tacata, District Attorney's Office Monique Chapman, Sheriff's Office Robert Halverson, Probation Department	3/30/15 3/30/16 3/30/15
Early Childhood Development Up to 2 members	Carol Simmons, Child Care Planning Council Kathryn Pack, First 5 Sonoma County	3/30/16 4/08/16
Local Funder Up to 3 members	Jennifer O'Donnell, United Way of the Wine Country Karin Demarest, Community Foundation of Sonoma County Serena Lienau, City of Santa Rosa	3/30/16 3/30/16 3/30/16
Local Universities or Colleges Up to 2 members	Dr. Carlos Ayala, Sonoma State University	3/30/15
Community at Large Up to 2 members	BJ Bischoff, Bischoff Consulting	3/30/15

Appendix C

PORTFOLIO OF MODEL UPSTREAM PROGRAMS

**As approved by the Portfolio Review Committee prior to January 1, 2015. Portfolio membership can also be viewed on the Upstream website, which is updated each time a new program is approved. www.upstreaminvestments.org

AGGRESSION REPLACEMENT TRAINING The Center for Social and Environmental Stewardship California Youth Outreach	PROJECT RESPECT Drug Abuse Alternatives Center
AVANCE Community Action Partnership of Sonoma County Petaluma Adult School	PROJECT SUCCESS The Sonoma County Student Assistance Program Collaborative: <ul style="list-style-type: none">• Cloverdale Unified School District• Cotati-Rohnert Park Unified School District• Drug Abuse Alternatives Center• Healdsburg Unified School District• NAMI of Sonoma County• Petaluma Joint Union High School District• Social Advocates for Youth• Sonoma County Department of Health Services• Sonoma County Office of Education• West County Community Services• West Sonoma County Union High School District
BIG BROTHERS BIG SISTERS Big Brothers Big Sisters of the North Bay	RESTORATIVE JUSTICE CONFERENCING Restorative Resources
COGNITIVE BEHAVIORAL THERAPY Petaluma People Services Center	SEEKING SAFETY Community Support Network Women's Recovery Services
COPING CAT Petaluma People Services Center	SMART MOVES Boys and Girls Clubs of Marin and Southern Sonoma Counties Boys and Girls Clubs of Central Sonoma County Boys and Girls Clubs of Sonoma Valley
DEPRESSION TREATMENT QUALITY IMPROVEMENT (DTQI) Sunny Hills Services	STRUCTURED DECISION MAKING ASSESSMENT SYSTEM Sonoma County Human Services Department
FAMILIES IN ACTION (FOR AGE GROUP 12-14) Petaluma People Services Center Child Parenting Institute	TRAUMA - FOCUSED COGNITIVE BEHAVIORAL THERAPY The Center for Social and Environmental Stewardship Child Parenting Institute
FUNCTIONAL FAMILY THERAPY (FFT) Social Advocates for Youth (SAY) Petaluma People Services Center	TRIPLE P - POSITIVE PARENTING PROGRAM Action Network Alternative Family Services Catholic Charities Child Parenting Institute Community Action Partnership of Sonoma County Community and Family Service Agency Community Child Care Council Committee on the Shelterless Early Learning Institute Jewish Family and Children's Services La Luz Center Petaluma City Schools Petaluma People Services Center River to Coast Children's Services Santa Rosa Community Health Services Sonoma County Behavioral Health Sunny Hills Services YWCA, A Special Place Preschool
GUIDING GOOD CHOICES The Center for Social and Environmental Stewardship	WRAPAROUND Seneca Family of Agencies
HEALTHIER LIVING - CHRONIC DISEASE SELF MANAGEMENT PROGRAM Northern California Center For Well-Being	
HEALTHY IDEAS Behavioral Health Division of the Department of Health Services Sonoma County Humans Services, Adult and Aging Department Community and Family Service Agency Council on Aging Jewish Family and Children's Services Petaluma People Services Center	
INTERPERSONAL PSYCHOTHERAPY FOR PERINATAL MOOD/ANXIETY DISORDERS Child Parenting Institute	
LIVING WITH DIABETES -DIABETES WELLNESS SERIES Northern California Center For Well-Being	
A MATTER OF BALANCE Sonoma County Human Services Department Sonoma County Area Agency on Aging	
MOTIVATIONAL INTERVIEWING Drug Abuse Alternatives Center The Center for Social and Environmental Stewardship Petaluma People Services Center	
NURSE-FAMILY PARTNERSHIP Sonoma County Department of Health Services	
PROJECT LEARN Boys and Girls Clubs of Central Sonoma County Boys and Girls Clubs of Marin and Southern Sonoma Counties Boys and Girls Clubs of Sonoma Valley	

Evidence-Based Programs (Tier 1)

Evidence-Based Practices are “gold standard” programs – those programs that have been empirically proven to produce positive outcomes. A variety of evidence-based clearinghouses evaluate whether or not programs meet the criteria for being evidence-based. Generally, these clearinghouses use the similar criteria: rigorous evaluation using experimental design, publication in a peer-reviewed journal, sustained effect, and replication. Often, these rigorous evaluations are completed by universities, government agencies, and privately funded research institutes. It is less common for a locality to have the necessary resources to complete this level of evaluation. Evidence-based practices are popular with funders because there is a high likelihood that the initiative will work as intended. To be included as an implementer of an Evidence-Based program on the Portfolio of Model Upstream Programs an organization must demonstrate it is implementing the program with fidelity to the model and has not made any unacceptable adaptations.

Promising Programs
(Tier 2)

Promising Programs are local programs that do not meet the criteria for evidence-based practice but have demonstrated that they are outcomes-based. The program design is based on a literature review and reflected in a logic model. A manual promotes replication and ensures standardized implementation for all clients. A program evaluation documents promising outcomes for more than one cohort.



Innovative Programs
(Tier 3)

Innovative Programs are currently implemented or are planned for implementation. They have the intent of being outcomes-based and meet the pre-requisites for outcomes-based practice. These programs are also based on a literature review and reflected in a logic model. These programs may not have a manual, but do, at a minimum, have policies and procedures. Organizations with Innovative practices have an evaluation plan that will be implemented on more than one cohort in a three year time period.

CENTER FOR ECONOMIC SUCCESS OUTREACH PLAN Community Action Partnership of Sonoma County	VIA ESPERANZA (SOUTHWEST FAMILY RESOURCE CENTERS) Community Action Partnership of Sonoma County
EXPRESSIVE ARTS PEER AND GRIEF SUPPORT GROUPS FOR YOUTH Willmar Family Grief and Healing Center	TEACHERS ACQUIRING LANGUAGE LEARNER KNOWLEDGE (TALLK) Sonoma County Office of Education
FAMILY CHILD CARE HOME EDUCATIONAL NETWORK River to Coast Children's Services Children & Family Circle	TEEN MENTORING PROGRAM Ceres Community Project
FOSTER YOUTH MENTORING PROGRAM Forget Me Not Farm Children's Services	TUTORING AND MENTORING PROGRAM The Salvation Army
GATEWAY TO QUALITY Child Care Planning Council of Sonoma County - Sonoma County Office of Education	VALUE IN PRESCHOOL Community Child Care Council of Sonoma County
HEALTHY MEALS FOR HEALTHY COMMUNITIES Ceres Community Project	WHEEL PLUS Santa Rosa Chamber of Commerce
IDO26.2 Volunteer Center of Sonoma County	YOUTH CONNECTIONS Community Action Partnership of Sonoma County
KID SCOOP NEWS Kid Scoop News	YOUTH AND FAMILY DEVELOPMENT THROUGH MARTIAL ARTS Martial Arts Youth Institute (MAYi)
LIFELONG CONNECTIONS PROGRAM Sonoma County Human Services Department	
MY LIFE TRANSITION PROGRAM VOICES Sonoma/On the Move	
PROJECT SAM Recourse Mediation Services	
READY - ROAD TO THE EARLY ACHIEVEMENT AND DEVELOPMENT OF YOUTH Sonoma County Human Services Department Sonoma County Department of Health Services Child Care Planning Council of Sonoma County Community Child Care Council of Sonoma County (4Cs) River to Coast Children's Services	
SCHOOL BASED MENTORING Mentor Me Petaluma	
SCHOOL BASED MENTORING Sonoma Valley Mentoring Alliance	
SENECA UNCONDITIONAL CARE MODEL Seneca Family of Agencies	
SOMATIC EXPERIENCING BRIEF STABILIZATION PROGRAM Suzie Gruber	



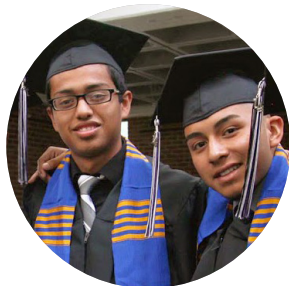
Appendix D

Upstream Indicators of Success



Goal 1: The whole community is engaged in supporting the healthy development of children.

1. Child Maltreatment
2. Youth binge drinking
3. Youth drug use
4. Youth depression
5. Youth tobacco use
6. Teen births
7. Childhood obesity (childhood body composition used as a proxy)



Goal 2: Community members have access to education and training and are adequately prepared for the challenges of the future.

1. Preschool attendance (Licensed child care used as a proxy)
2. 3rd grade reading
3. 3rd grade math
4. High school graduation
5. Higher education



Goal 3: All community members are well sheltered, safe, and socially supported

1. Housing affordability (Rent burden used as a proxy)
2. Homelessness
3. Juvenile arrests
4. Adult arrests
5. Domestic violence
6. Gang membership
7. Youth connectedness to school
8. Hip fractures
9. Physical activity



Goal 4: Sonoma County has a thriving diverse economy that produces economic security for all.

1. Poverty (Self-sufficiency used as a proxy)
2. Unemployment
3. Health insurance
4. Dental care
5. Fruit and vegetable consumption

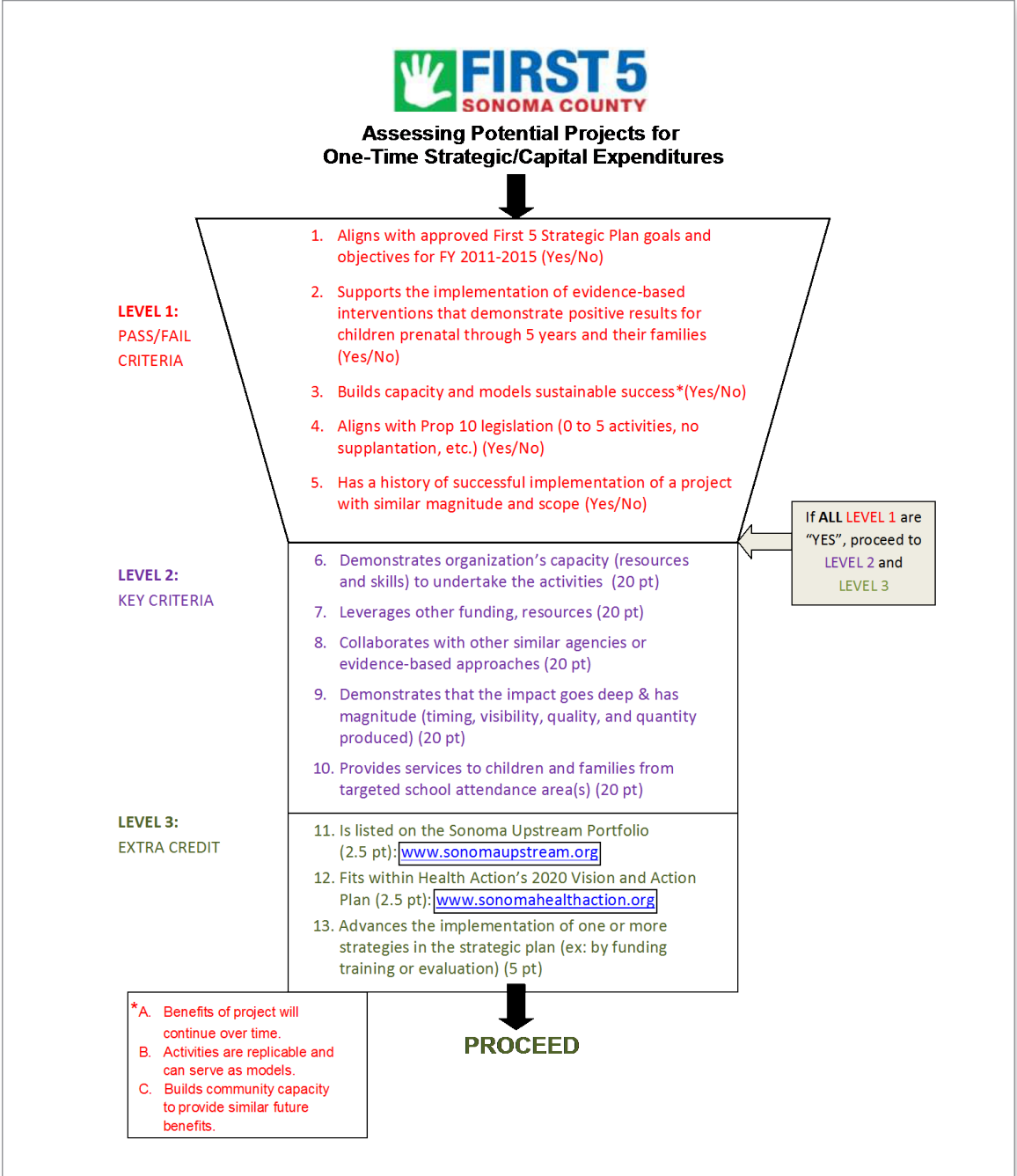


Appendix E

Examples of Grant Application Tools that Align with Upstream Investments

**Note that the following examples are excerpted from local RFPs, applications and application review guidelines and do not represent the entire official documents utilized by local funders.

Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application



Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application

Background

The purpose of the California Children and Families First Act of 1998 (Proposition 10) is to promote, support, and optimize early childhood development and school readiness. Under the Act, each county is charged with the development of a comprehensive strategic plan guiding services and supports for children from the prenatal stage to age 5 (0-5) and their parents and caregivers.

The First 5 Sonoma County Commission was established in December 1998 through an ordinance adopted by the Sonoma County Board of Supervisors. The nine-member Commission includes representation from the Board, County health and human services agencies, individuals with expertise in early child development, health, and education, and recipients of project services. In April 2000, the Commission developed its first Strategic Plan outlining goals, objectives, and funding priorities to benefit children and families in Sonoma County. The Plan was revised in 2006 and again in 2010. In July 2010, the Commission began allocating funds for evidence-based programs proven to achieve outcomes in three programmatic goal areas, as well as in systems integration, policy change, and community engagement to support children and families. In March 2011, the Commission approved extending the Strategic Plan to June 2020. The Commission's Strategic Plan and related documents can be viewed at www.first5sonomacounty.org/documents/strategicplan.pdf.

Flexibility Fund Program Policies and Procedures

The First 5 Commission of Sonoma County established the Flexibility Fund in order to respond to opportunities to improve the development and support of young children and their families in Sonoma County through innovative or emerging practices that may not have achieved the status of an evidence-based practice. Funds allocated under the Flexibility Fund will be provided for projects or programs that address the priority outcomes identified in the 2010 Strategic Plan revision.

Funding Considerations, Requirements and Restrictions

In making funding decisions, the Commission will weigh favorably projects that:

- ⇒ are recognized as Tier 2 or Tier 3 of Sonoma County's Upstream Initiative's Program Portfolio or can be found on an evidence-based clearing house or in related best practice research or resources;
- ⇒ provide culturally competent services and programs (in terms of language, strategies and interventions) to meet the needs of Sonoma County's diverse population;
- ⇒ aim to serve or enhance services for the highest-need populations in the county;
- ⇒ demonstrate and promote collaboration among service providers;
- ⇒ are sustainable beyond the funding period supported by the Commission;
- ⇒ fill service gaps and/or add value to existing systems of effective services and programs;
- ⇒ can clearly articulate the outcomes that will result from the supported services or programs;
- ⇒ communicate clear objectives and methods for assessing progress and continuous program improvement; and
- ⇒ build on lessons learned.

Typically grants will be awarded for projects of 12 months or less.

Grantees will be required to provide periodic progress reports to First 5 Sonoma County and to coordinate with Commission staff, consultants, and other partners, as requested.

Grantees may be required to participate in First 5 Sonoma County evaluation activities, including, but not limited to: meetings with Commission staff and evaluation consultants; data collection and reporting; and any other activities deemed appropriate by the Commission for assessing both the process and outcome results of its investments.

Grantees must maintain a tobacco-free environment and agree not to accept any funds from the tobacco industry, including event sponsorships and in-kind contributions.

Grantees must follow contractual guidelines with regard to making drinking water available and limiting juice and sweetened beverages.

Flexibility Fund dollars may not be used for individual stipends or scholarships.

Grantees will be required to enter into a contract with the Sonoma County Department of Health Services acting on behalf of the Commission. A copy of the County's standard contract is available on the First 5 Sonoma County website www.first5sonomacounty.org/rfp.htm.

Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application

Funding Priorities

Funding is being offered for programs designed to meet one or more of the *Priority Outcomes* listed under the **Goals** of the Commission's Strategic Plan:

Goal 1: Ensure the Health and Healthy Development of Children

- ⇒ Increase the availability of high quality, accessible health care for children
- ⇒ Increase early detection and intervention for developmental concerns

Goal 2: Ensure Families Are Supported and Nurturing

- ⇒ Increase support for parents to strengthen their parenting capacity
- ⇒ Increase support for parents to strengthen their family's literacy skills

Goal 3: Ensure That Early Care and Education Is High Quality

- ⇒ Increase the availability of high quality early care and education
- ⇒ Increase the capacity of early care and education providers to link their client families to appropriate health, mental health, substance abuse, and developmental services

Goal 4: Increase Integration of Systems and Effect Policy Change to Fill Gaps and Better Serve Children and Families

Health Systems

- ⇒ Increase implementation of successful strategies to reduce iron deficiency anemia through collaboration with community partners
- ⇒ Increase the community's capacity to address children's oral health needs through collaboration with community partners

Family Support Systems

- ⇒ Reduce child abuse and neglect through collaboration with community partners to identify, improve, and sustain high quality intervention and support for families with substance abuse, mental health, and domestic violence issues
- ⇒ Increase family economic self-sufficiency and reduce the impacts of poverty on children 0-5 through collaboration with community partners

Early Care and Education Systems

- ⇒ Increase parents' engagement as partners in education and increase families' connection to related resources
- ⇒ Increase alignment and articulation between early care and education and K-3
- ⇒ Identify and increase institutionalization of successful school readiness strategies and programs
- ⇒ Increase alignment of systems of academic advancement for early care and education providers in Sonoma County through collaboration with community partners

Advocacy

- ⇒ Advocate for policies and programs that increase children's ability to develop to their fullest potential

¹ The Upstream Portfolio includes Tier 2 (Promising Practices) for programs documented by a program manual and that have had evaluation suggesting effectiveness and Tier 3 (Emerging Practices) for local programs that have a clear theoretical model and have planned (but not yet completed) a local evaluation. The criteria are fully explained at www.SonomaUpstream.org.

Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application

Application and Submission Instructions

Interested applicants to the Flexibility Program should complete the Flexibility Fund Application provided here as Attachment A. Any additional documents provided by the applicant beyond those requested will not be considered as part of the application process. In order to be considered for funding, applications must include the following completed sections:

- Flexibility Fund Application [Cover Sheet](#)
- Application [Project Narrative](#)
- [Project Evaluation Plan](#)
- [Organization History](#)
- [Scope of Work/Plan for Reporting Results](#)
- [Budget/Budget Narrative](#)

Applications will be evaluated using the following criteria and the extent to which all required documentation is satisfactorily completed:

Pass/Fail Criteria {proposals must pass all 5 criteria to be considered for continued review}

1. Aligns with approved First 5 Strategic Plan goals and objectives for FY 2011-2020 (www.first5sonomacounty.org/documents/strategicplan.pdf)
2. Supports the implementation of promising or emerging evidence-based interventions that demonstrate positive results for children prenatal through 5 years and their families
3. Builds capacity and models sustainable success:
 - benefits of project will continue over time
 - activities are replicable and can serve as models
 - builds community capacity to provide similar future benefits
4. Is aligned with Proposition 10 legislation (e.g., services are for children ages 0-5 and their families; there is no supplantation, etc.) www.ccfc.ca.gov/pdf/legislation/CALIFORNIACODES2009.pdf
5. Has a history of successful implementation of a project with similar magnitude and scope

Additional Criteria

6. Demonstrates organization's capacity (resources and skills) to undertake the activities detailed in the proposal
7. Leverages other funding, resources
8. Collaborates with other similar agencies or complements evidence-based approaches
9. Demonstrates that the impact goes deep and has magnitude (timing, visibility, quality, and quantity produced)
10. Provides services to children and families from targeted school attendance area(s) {see pg 8 of the First 5 Strategic Plan at www.first5sonomacounty.org/documents/strategicplan.pdf}
11. Is listed on the Sonoma County Upstream Portfolio (www.upstreaminvestments.org/html/programs.htm)
12. Fits within Health Action's 2020 Vision and Action Plan (www.sonomahealthaction.org)
13. Advances the implementation of one or more strategies in the Strategic Plan (example: by funding training or evaluation)

Please submit one (1) signed original copy of the application, two (2) additional copies for review and one (1) electronic copy with all associated documents on a Compact Disc or Flash Drive in a Portable Document Format (.pdf) or Microsoft Word Document (.doc) format.

Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application

Flexibility Fund Application

Please insert your answers to the following questions directly in the document below. Limit your responses to the maximum number of characters indicated for each section.

I. **Project Narrative:** As concisely as possible, answer the following questions. Please note space limitations.

A. Target Population:

- 1) Briefly describe the population you seek to serve with this project and why you believe they should be targeted [limit 1500 characters]:
- 2) What specific geographical area(s) of the County are you targeting with this project:

Area	Name/Number

- 3) What data do you have to support the needs of this population? [list data points only]:
- 4) For each of the categories below, please list the number of individuals you expect to serve with this project:

Total children 0-3 years old: 0	Children 4-5 years old: 0
(with special needs): 0	(with special needs): 0
Pregnant Mothers: 0	Adults with children 0-5: 0
Provider Organizations: 0	Providers (individuals): 0

B. Project Description

- 1) Provide a brief description of the project and its major components [limit 2500 characters]:
- 2) Why should First 5 Sonoma County address this issue at this time? Consider where the project stands in the larger context of early childhood work in the County and State [limit 1500 character]:
- 3) Describe which First 5 Sonoma County Funding Priorities the project seeks to address and how it will directly address them (see Funding Priorities section above)
[limit 250 characters per description]:
- 4) Does this project utilize or support models or curriculum designated as emerging, promising or evidence-based practices by the [Sonoma County Upstream Initiative](#) (e.g. Triple P, Nurse-Family Partnership, etc.)? List all the models/curriculum that will be utilized by the project and whether they are currently being provided by your organization.

Excerpts from RFP - FIRST 5 SONOMA COUNTY Flexibility Fund Application

Model/Curriculum Name	Sonoma Upstream Designation
<p>Current program: <input type="checkbox"/> YES <input type="checkbox"/> NO</p>	

- 5) If the project receives this funding, how will this work be sustained after this funding period is completed? How will you use this funding to leverage other resources?
[limit 1500 characters]:
- 6) Are other organizations or entities collaborating on this project? If yes, who are the organizations and how are they contributing to the overall project:

II. Evaluation Plan

- 1) What do you expect to be the immediate and long-term impact of this project? [limit 1500 characters]
- 2) What are the expected measurable outcomes of this project? Please list the indicator, baseline measurement, and target for each outcome.

III. **Scope of Work/Plan for Reporting Results:** Use the Scope of Work/Plan for Reporting Results template provided below to describe project activities needed to implement the project, including timelines, responsible parties, and deliverables (process outputs and program outcomes) that include measurement tools to be used.

Flexibility Fund Application

SCOPE OF WORK / PLAN FOR REPORTING RESULTS

Project Title: _____

Covering period from _____ to _____

KEY STRATEGIES /ACTIVITIES	TIMELINE	PERSON(S) RESPONSIBLE	MEASURABLE DELIVERABLES [I.E., PROCESS OUTPUTS]	MEASURABLE PROGRAM OUTCOMES
We will employ the following key strategies to achieve our desired outcomes:	Strategies will occur on this schedule (months):	We will employ the following person(s) to be responsible for completion.	We expect the strategies to produce the following <u>measurable</u> deliverables or products:	We expect that once completed the strategies will achieve the following measurable changes/results in our target populations/service systems:

Excerpts from SONOMA WINE COUNTRY WEEKEND grant application



Grant Application 2014 – 2015

GENERAL INFORMATION:

- 1. Contact information for organization’s leaders including names and titles.
- 2. Organization’s legal name, legal status as a non-profit and date of incorporation.
- 3. Organization’s primary purpose and Mission Statement.
- 4. Organization’s scope of services, including the geographic service area, number of individuals served and target population.
- 5. Percentage of organization’s efforts that serve Sonoma County and/or Sonoma Valley’s population.
- 6. Briefly describe what you expect to be the short-term outcome(s) and long-term impact of the program. (Limit 200 words)

SPECIFIC REQUEST FOR GRANT MONIES:

- 1. Goal of the program or project for the grant request. (Limit 200 words)
- 2. The individuals supported by the specific project or program, and the geographic area served. (Please indicate both the number of individuals to be served and identify the target population, i.e. foster youth, Spanish-speaking heads of households, etc.) (Limit 200 words)
- 3. Indicate whether the program has shown positive outcomes through formal program evaluation. Attach any prior evaluation reports*. (Limit 200 words)
- 4. Indicate whether the program has been accepted to the Sonoma County Portfolio of Upstream Programs: Tier 1, Tier 2, Tier 3, Application Pending or Not a Portfolio Program)*. (Limit 50 words)
- 5. Utilizing the attached budget template in Attachment A, indicate the amount of money requested and intended use of these funds. (The requested amount should be the same amount proposed in your Letter of Intent, unless you received other direction from our boards). Please indicate the total budget for the project or program and if beyond the grant amount, any additional sources of leveraged or matching funding.
- 6. Using the Scope of Work template in Attachment B to indicate project activities, timeline, staff responsible, measurable program outputs and measurable program outcomes*.

Excerpts from SONOMA WINE COUNTRY WEEKEND grant application

REPORTS TO THE GRANT COMMITTEE:

- 1. A report of the programs’ results should be made to the SWCW Grant Committee within 60 days after the program has been completed. A reporting template will be provided at a later date.
- 2. A final report must be submitted from a prior year’s grant before a new grant can be considered.
- 3. Sonoma Wine Country Weekend reserves the right to request a site-visit with any grantee.
- 4. No grant can be submitted for programs or materials that have already been completed.

SUBMISSION: All Community Grant application should be emailed to our Community Grants Manager, Michael Irvine, at Michael@SonomaWineCountryWeekend.com. All submissions will receive an email acknowledgement, so if you have emailed your application, but have not received confirmation please contact Michael Irvine at (707) 939-5828 before the submission deadline.

**For information and technical assistance related to the Portfolio of Upstream Model Programs, program evaluation and/or tracking/reporting program results, please contact Upstream Investments at info@upstreaminvestments.org.*

2014-2015 Sonoma Wine Country Weekend: SCOPE OF WORK

PROGRAM / PROJECT: _____

KEY STRATEGIES /ACTIVITIES	TIMELINE	MEASURABLE PROGRAM OUTPUTS	MEASURABLE PROGRAM OUTCOMES
We will employ the following strategies to achieve our desired outcomes:	Strategies will occur on this schedule (months):	We expect the strategies to produce the following <u>measurable</u> deliverables or products:	We expect that once completed the strategies will achieve the following <u>measurable</u> changes/results in our target populations/service systems:

Excerpts from Sonoma County Human Services Department,
Family, Youth & Children’s Division: Promoting Safe and Stable Families

Bonus Points

A. Upstream Investments

Proposers are encouraged to align their programs with the Sonoma County Upstream Investments Policy, and at a minimum are required to provide a Resolution of Alignment with the Proposal. Proposals will be reviewed for evidence-based practices, promising practices, and emerging practices which are included in the Portfolio of Model Upstream Programs and *bonus points will be awarded based on the status of participation in the Portfolio as of the Proposal Submission deadline*. The Upstream Investment Policy is sponsored by the Sonoma County Board of Supervisors and is a prevention-focused model that targets the factors that lead to societal problems by intervening early with evidence-based programs and policies to reduce the occurrence of these problems before they require more drastic and expensive services. Proposal submitters may contact info@SonomaUpstream.org or (707) 565-5800 for assistance in submitting the service to the Portfolio that they intend to include in their response. The Sonoma County Upstream Investments website can be found at www.sonomaupstream.org.

Program Requirements

Service parameters include but are not limited to:

- Providing services in Sonoma County that are conveniently located and easily accessed by the community.
- Collaborating with other community agencies to provide culturally competent and sensitive, user-friendly family support services in the clients’ preferred language.
- Utilizing a multi-disciplinary team approach to client assessment and service delivery.
- Developing and maintaining professional relationships with all clients served by the agency.
- Identifying and providing services to isolated families.
- Providing services based on evidence-based models of best practice.
- Preventing placement of a child in the foster care system.
- Enhancing family functioning by assisting children and families to resolve crises and utilize needed services.
- Strengthening the ability of parents and/or caretakers to create stable and nurturing home environments supportive of healthy child development.

PSSF Outcomes and Evaluation

Proposals must include a logic model and evaluation plan that contains outcome measures (utilizing Attachment G: Logic Model and Attachment H: Evaluation Plan and Matrix). The logic model and evaluation plan must include:

- Identification of the specific goals and outcomes measures that the proposed services will attempt to achieve.
- Identification of the methods and strategies to be used to achieve stated goals.
- Description of the proposer’s evaluation process to assure that in administering and conducting service programs, the privacy and dignity of the children and families served will be of paramount concern.
- Description of the proposer’s strategy for dealing with any negative program/service trends revealed through evaluation.

Excerpts from Sonoma County Human Services Department,
Family, Youth & Children’s Division: Promoting Safe and Stable Families

ATTACHMENT G
LOGIC MODEL

Need/Problem Area	Strategies/Activities	Outputs	Short-Term Outcomes	Long-Term Outcomes
List risk/ protective factors and problem area	Activities: What does program do? Which problem area is addressed? Identify target population	How many units of service are to be provided?	Changes/Results in: Knowledge; skills; attitudes; behavior	

ATTACHMENT H

OUTCOMES	INDICATORS	METHOD OF DATA COLLECTION	TOOLS	WHO COLLECTS DATA	TIMEFRAME
Degree of Change	Performance Measures – How will you track change?	List methods, i.e. interviews, surveys, observation, checklist, other	List specific tools used to collect data	Staff, participants, etc.	Milestones and delivery of activities
Short-Term Outcomes					
Intermediate Outcomes					
Long-Term Outcomes					

NOTES AND RESOURCES

Notes

¹ Ron Haskins and Greg Margolis, *Show Me the Evidence: Obama's Fight for Rigor and Results in Social Policy*, Brookings Institution Press, 2014.

² “Upstream Investments Initiative, Sonoma County, CA”, *Raise the Local Voice*, American Public Human Services Association, 2011.

³ Angie Dillon-Shore, “Sonoma County’s Upstream Investments Initiative: Prioritizing Prevention and Evidence-Based Practice”, *Policy & Practice*, American Public Human Services Association, January 2015.

⁴ Sarah Burd-Sharps and Kristen Lewis, *A Portrait of Sonoma: Sonoma County Human Development Report 2014*, Measure of America, 2014.

⁵ Jeanette M. Johnstone, Suzanne E. Luty, Janet D. Carter, Roger T. Mulder, Christopher M.A. Frampton, Peter R. Joyce, “Childhood Neglect and Abuse as Predictors of Antidepressant Response in Adult Depression,” *Depression and Anxiety* 26 (2009): 711 – 717

⁶ Jennifer E. Lansford, Shari Miller-Johnson, Lisa J. Berlin, Kenneth A. Dodge, John E. Bates, Gregory S. Pettit, “Early Physical Abuse and Later Violent Delinquency: A Prospective Longitudinal Study,” *Child Maltreatment* 12(3) (2007): 233 – 245

⁷ (R.J. Prinz, M.R. Sanders, C.J. Shapiro, D.J. Whitaker, J.R.Lutzker, “Population-based Prevention of Child Maltreatment: The U.S. Triple P System Population Trial,” *Prevention Science* 10(1) (2009): 1 – 12

⁸ *The Adverse Childhood Experiences (ACE) Study is a collaborative study between Kaiser Permanente’s Department of Preventive Medicine in San Diego and the Centers for Disease Control and Prevention (CDC), conducted by Dr. Vincent Felitti and Dr. Robert Anda. The ongoing study is a large-scale, longitudinal epidemiologic study of the influence of stressful and traumatic childhood experiences on social and health related problems occurring later in life. The ACE Study is the largest study of its kind ever conducted with more than 17,000 participants.*

⁹ Frances Campbell, Gabriella Conti, James J. Heckman, Seong Hyeok Moon, Rodrigo Pinto, “Early Childhood Investments Substantially Boost Adult Health” *Science* 343 (2014): 1478-1485

¹⁰ John Kania & Mark Kramer, “Collective Impact”, *Stanford Social Innovation Review*, 2011.

¹¹ Paul W. Mattessich, Ela Rausch, “Cross-Sector Collaboration To Improve Community Health: A View Of The Current Landscape,” *Health Affairs* 33 (2014): 1968 – 74

¹² “The California Evidence-Based Clearinghouse for Child Welfare,” accessed January 14, 2015, <http://www.cebc4cw.org/>

¹³ “SAMHSA’s National Registry of Evidence-based Programs and Practices,” accessed January 14, 2015, <http://www.nrepp.samhsa.gov/Index.aspx>

¹⁴ “Results First Clearinghouse Database,” accessed January 14, 2015, <http://www.pewtrusts.org/en/research-and-analysis/issue-briefs/2014/09/results-first-clearinghouse-database>

¹⁵ “California Institute for Behavioral Health Solutions,” accessed January 14, 2015, <http://www.cibhs.org/evidence-based-practice-initiative>

¹⁶ *Nurse-Family Partnership’s maternal health program introduces vulnerable first-time parents to caring maternal and child health nurses. This program allows nurses to deliver the support first-time moms need to have a healthy pregnancy, become knowledgeable and responsible parents, and provide their babies with the best possible start in life. See more at: <http://www.nursefamilypartnership.org>*

¹⁷ *Triple P – Positive Parenting Program is a globally-recognized evidence-based program, backed up by more than 30 years of ongoing rigorous research. Triple P provides parents with simple and practical strategies to help them manage their children’s behavior, prevent problems developing, and build healthy relationships. Triple P is currently used in 25 countries and has been shown to work across cultures, socio-economic groups and in all kinds of family structures. See more at: <http://www.triplep.net/glo-en/home/>*

¹⁸ *AVANCE is an evidence-based, two-generation approach to helping parents become their child’s first teacher. The program targets Spanish-speaking, low income families. AVANCE is currently implemented at multiple sites across the United States. See more at: www.avance.org*

Other Resources

ARTICLES

“A Funders Guide to Using Evidence of Program Effectiveness in Scale-Up Decision,” Social Impact Exchange, 2014. By Michael Bangser

“Collective Impact,” Stanford Innovation Review, 2011. By John Kania and Mark Kramer

BOOKS

Show Me the Evidence: Obama’s Fight for Rigor and Results in Social Policy

Brookings Institute, 2014

By Ron Haskins & Greg Margolis

Interviews with Obama administration officials about six federal initiatives to fund social programs based on rigorous evidence of their success. These initiatives span across sectors, including preschool and K-12 education, teen pregnancy, employment and training, health, and other community-based programs

CLEARINGHOUSES OF EVIDENCE-BASED PROGRAMS

Center for the Study and Prevention of Violence Blueprints
www.colorado.edu/cspv/blueprints/index.html

SAMHSA National Registry of Evidence-Based Programs and Practices (NREPP)
www.nrepp.samhsa.gov

Office of Juvenile Justice and Delinquency Prevention Model Program Guide
www.ojjdp.gov/mpg

Coalition for Evidence-Based Policy, Social Programs that Work
www.toptierevidence.org

What Works Clearinghouse
www.ies.ed.gov/ncee/wwc

California Evidence-Based Clearinghouse for Child Welfare
www.cebc4cw.org

Guide to Community Preventive Services
www.thecommunityguide.org

Child Trends LINKS Database
www.childtrends.org/links

Diffusion of Effective Behavioral Interventions – DEBI
www.effectiveinterventions.org/en/home.aspx

American Diabetes Association Education Recognition Program
www.professional.diabetes.org/Recognition.aspx?typ=15&cid=84040

Administration on Aging
www.healthyagingprograms.org/content.asp?sectionid=32

Cochrane Collaboration Library of Systematic Reviews
www.thecochranelibrary.com/view/0/index.html

Results First Clearinghouse Database
www.pewtrusts.org/en/research-and-analysis/issue-briefs/2014/09/results-first-clearinghouse-database

WEBSITES

Evidence2Success

Annie E. Casey Foundation’s roadmap for how government funders can involve communities in adopting evidence-based programs that support kid’s well-being.
<http://www.aecf.org/work/evidence-based-practice/evidence2success/>

KIDS COUNT Data Center

A project of the Annie E. Casey Foundation, KIDS COUNT is an excellent source for data on California child and family well-being. Search by county, city and congressional district to access rich data to inform decisions about targeting programs for children and families.
<http://datacenter.kidscount.org/>

Pew-MacArthur Results First Initiative

The Pew-MacArthur Results First Initiative, a project of The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation, works with states to implement an innovative cost-benefit analysis approach that helps them invest in policies and programs that are proven to work.
<http://www.pewtrusts.org/en/projects/pew-macarthur-results-first-initiative>

President Obama’s Comprehensive Early Learning Agenda

White house policy agenda to invest in and strengthen early childhood education, care and development to prevent achievement gaps and invest in young Americans as a critical national resource. The agenda includes the Preschool for All initiative, increasing the quality of child care, empowering parents and reforming and expanding Head Start.
<http://www.whitehouse.gov/issues/education/early-childhood/>

Sonoma County Upstream Investments Policy

Upstream’s website provides an array of resources for funders, organizations and community members, including information about the initiative, forms for Portfolio application and a list of programs on the Portfolio of Model Upstream Programs.
<http://www.upstreaminvestments.org/>

Too Small to Fail

An joint initiative of Next Generation and the Clinton Foundation, Too Small to Fail promotes new research on the science of children’s brain development, early learning and early health, to help parents, businesses and communities identify specific actions, consistent with the new research, that they can take to improve the lives of young children.
<http://toosmall.org>

Urban Institute Outcome Indicators Project

A joint project of the Urban Institute and the Center for What Works, the Outcome Indicators Project provides a framework for tracking nonprofit performance. It suggests outcomes and outcome indicators for 14 different program areas to assist funders and nonprofit organizations to develop new outcome measurement processes or improve their existing systems.
<http://www.urban.org/center/cnp/Projects/outcomeindicators.cfm>

WEBINARS

Investing in Change: Funding Collective Impact Efforts

This webinar discusses the barriers funders face in participating in collective impact efforts and tips for overcoming them. Panelists from The Tow Foundation and the Bill & Melinda Gates Foundation share lessons from the field.
<http://www.fsg.org/tabid/191/ArticleId/714/Default.aspx>

“Investing in upstream practices is investing in the healthy futures of the youth in our neighborhoods. By investing upstream we are telling youth that we believe in them and that we, as a collective community, will do everything possible to create opportunities for them to be successful.”

AMBER TWITCHELL, PROGRAM DIRECTOR, VOICES

**LOCAL FUNDERS OF PROGRAMS ON THE PORTFOLIO OF MODEL UPSTREAM PROGRAMS
(CURRENT AND PAST)**

- 10,000 Degrees

City of Petaluma

City of Santa Rosa

Clover Stornetta Farms

Community Foundation Sonoma County

Community Matters

Cook Vineyard Management

County of Sonoma Child Protective Services

Ernest L. & Ruby W. Finley Foundation

Exchange Bank Foundation

First 5 of Sonoma County

Gloria Ferrer Wines

Impact 100 Sonoma

John Jordan Foundation

John Muir Charter School

Kaiser Permanente

Luther Burbank Savings

Petaluma City Schools

Petaluma Community Foundation

Petaluma Kiwanis Club

Petaluma Rotary Club

Santa Rosa Chamber of Commerce
- Santa Rosa Memorial Hospital

Santa Rosa Sunrise Rotary Club

Sisters of St. Joseph Healthcare Foundation

Sonoma Bank

Sonoma County Agriculture Preservation and Open Space District

Sonoma County Department of Health Services

Sonoma County Fish and Wildlife Commission

Sonoma County Human Services Department

Sonoma County Office of Education

Sonoma County Office of the District Attorney

Sonoma County Probation Department

Sonoma County Water Agency

Sonoma County Workforce Investment Board

St Joseph Health System of Sonoma County

The Salvation Army Santa Rosa

Town of Windsor

Umpqua Bank

United Way of the Wine Country

Valley of the Moon Rotary

Wine Country Weekend

Whole Foods Market



“All Sonoma County residents deserve a high-quality education, and schools can’t shoulder this responsibility in isolation. UPSTREAM INVESTMENTS engages the entire community in supporting the healthy development of all children in and out of school. Healthy communities support thriving families and those are the best conditions for educational success.”

SOCORRO SHIELS, SUPERINTENDENT, SANTA ROSA CITY SCHOOLS
UPSTREAM POLICY COMMITTEE MEMBER

“Investing early in our young people and their families has been proven to be the most effective method of combating long-term poverty and disenfranchisement. When children are engaged and supported from a young age, they gain the tools to resist peer pressures leading to antisocial and criminal activities. Our early investment yields successful outcomes, reduces our future criminal justice costs, and results in a happier, healthier, more engaged Sonoma County.”

EFREN CARRILLO, FIFTH DISTRICT SUPERVISOR
FORMER UPSTREAM EXECUTIVE COMMITTEE MEMBER

“Recent changes in the criminal justice system make investing upstream more important than ever. With the shift from incarceration to rehabilitation it’s critical to know that we’re investing in interventions that are proven to be effective.”

JILL RAVITCH, SONOMA COUNTY DISTRICT ATTORNEY
UPSTREAM EXECUTIVE COMMITTEE MEMBER