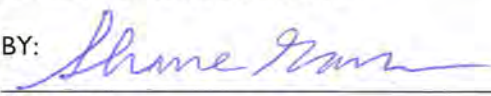


<p align="center"><b>SUB-AGREEMENT</b>  <b>BY</b>  <b>Save the Children Federation, Inc.</b>  <b>TO</b>  <b>Jefferson County Board of Education</b>  <b>3332 Newburg Road</b>  <b>Louisville, KY 40218</b></p>	
1. <b>Project Name:</b> Young Elementary	2. <b>Sub-award Number:</b> 999000821
3. <b>Sub-award Effective Date:</b> 7/1/2016	4. <b>Sub-award Expiration Date:</b> 6/30/2017
5. <b>Sub-recipient Contact Name and Information:</b> Donna Hargens Superintendent <a href="mailto:donna.hargens@jefferson.kyschools.us">donna.hargens@jefferson.kyschools.us</a>	6. <b>Save the Children Contact Name and Information:</b> Sarah Belanger, Early Steps to School Success Program Specialist <a href="mailto:sbelanger@savechildren.org">sbelanger@savechildren.org</a>
7. <b>Donor Comments:</b> N/A	
8. <b>Total Obligated Amount:</b> \$56,990	9. <b>Total Estimated Amount:</b> \$56,990
<p>Save the Children Federation Inc. and Jefferson County Board of Education hereby agree that the electronic signatures, as defined in the Electronic Signatures in Global and National Commerce Act of 2000 ("ESIGN") used in execution of this Agreement are legally binding and, as such, equivalent to traditional handwritten signatures under ESIGN and other applicable laws. Both Save the Children and Jefferson County Board of Education further agree that the electronic signatures used in execution of this Agreement shall constitute an original for all purposes. Jefferson County Board of Education agrees that it is solely responsible for maintaining security and confidentiality of its electronic signatures, and that it shall be solely responsible for all actions initiated under its electronic signatures.</p> <p><b>IN WITNESS WHEREOF</b>, Save the Children Federation, Inc. and Sub-recipient have each caused this agreement to be executed on their behalf:</p>	
10. <b>Sub-recipient Authorized Representative:</b>  BY: _____ Donna Hargens TITLE: Superintendent  DATE: _____	11. <b>Save the Children Federation, Inc. Authorized Representative:</b>  BY:  Shane Garver TITLE: State Director  DATE: <u>5/26/16</u>

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## I. Definitions and Scope of the Agreement

### (a) Definitions

In addition to any term which is defined in a Section of the Agreement, the following terms shall have the definitions provided below:

**"Sub-award Effective Date"** means the date specified as the start date in Section 3 of the Cover Sheet;

**"Sub-award Expiration Date"** means the Implementation End Date or such later date on which all the rights and obligations of the Parties under the Agreement have been performed (other than under Section 6). See section 4 of the Cover Sheet;

**"Budget"** means the budget for the Project/Program(s) in Appendix 2 as varied or amended in accordance with Section 6;

**"Current Obligated Funding Amount"** means, at any time, the amount of the Sub-agreement funds which SCUS has paid and committed to pay the Sub-recipient at such time. This amount is stated in Section 8 of the Cover Sheet;

**"Days"** means calendar days

**"Donor"** means the entity specified as donor in Section 7 of the Cover Sheet (as applicably noted);

**"External Partner"** means a partner selected to implement the Project/Program(s) otherwise referred to as Sub-recipient;

**"Sub-award"** means the sub-award to be made by SCUS to the Sub-recipient on the terms set out in the Agreement;

**"Implementation End Date"** means the date specified as the Implementation End Date in Section 4 of the Cover Sheet;

**"Project/Program(s)"** means the project or program specified in Section 1 of the Cover Sheet and Appendix 1;

**"Total Sub-award Amount"** means the total amount of the Sub-award specified in Section 8 of the Cover Sheet, including the total amount of any Current Obligated Funding Amount, if applicable;

**"Year"** means the period of 12 months beginning on the Agreement Start Date or any anniversary of the Agreement Start Date except that the final Year of the Agreement shall end on the Implementation End Date.

**"Funder Applicable Cost Principles"** means any cost principles dictated by the prime donor that must be flowed down to subrecipients.

### (b) Purpose

The purpose of this Agreement is for Save the Children Federation, Inc. (hereinafter referred to as "SCUS") to set out the rights and responsibilities of SCUS to Jefferson County Board of Education, (hereinafter referred to as Sub-recipient), in relation to the Agreement and implementation of the Project/Program(s) at Young Elementary. It is agreed that the funding set forth in this agreement will be used exclusively for achievement of the Project/Program objectives.



(c) Total Sub-award Amount

SCUS shall make the Total Sub-award Amount in US Dollars available to the Sub-recipient at the times and upon the terms set out in this Agreement and subject to SCUS receiving the necessary funding.

(d) Current Obligated Funding Amount

If SCUS agrees to make a Current Obligated Funding Amount available to the Sub-recipient, SCUS shall make such payment to the Sub-recipient in upon the terms set out in this Agreement.

(e) Gifts-in-kind

SCUS is actively pursuing gift-in-kind contributions which may replace current obligated funding cash amounts included in the project budget. Should SCUS secure such contributions, they will be passed through to the partnering organization and the dollar amounts of said contributions will be removed from the current obligated funding cash amount of the project. SCUS will send a formal budget revision at that time.

## 2. Appendices

The following Appendices which are indicated in the boxes provided below shall form part of this Agreement:

☒ Appendix 1 - Project / Program(s) plan and program documents

	I.a. School Age Program Quality Standards
	I.b. Afterschool Program Component
	I.c. In-School Literacy Program Component
	I.d. Foster Grandparent Program Expectations
	I.e. SummerBoost Camp Program Component
<input checked="" type="checkbox"/>	I.f. Early Steps to School Success Program Component
	I.g. Sponsorship Program Expectations
<input checked="" type="checkbox"/>	I.h. Data Use Agreement and Consent to Release Confidential Student Education Records (first year Sub-recipients only)
<input checked="" type="checkbox"/>	I.i. Technology System Requirements
<input checked="" type="checkbox"/>	I.j. Partner plan

☒ Appendix 2 - Project / Program(s) Budget

☒ Appendix 3 – Save the Children Child Safeguarding Policy (as updated and revised from time to time)

☒ Appendix 4 – Save the Children Zero-Tolerance Fraud Policy (as updated and revised from time to time)

☒ Appendix 5 – Save the Children General Expense Direct Deposit Authorization Form

### 3. Responsibilities of the Parties

#### (a) Roles and Responsibilities of SCUS

SCUS will:

- (i) Be legally and solely responsible to the Donor for the Project / Program(s) and be the sole Party in direct communication with the Donor;
- (ii) Transfer funds on time and otherwise in accordance with Section 4;
- (iii) Provide guidance and technical assistance for the Sub-recipient to implement the Project/ Program(s) as described in the Project / Program Plan (Appendix I);
- (iv) Engage in other monitoring activities necessary to effectively oversee this sub-award which may include on-site visits to observe program activities, financial monitoring, periodic implementation meetings and other measures necessary to monitor activities under this sub-award. Sub-recipient programs will be periodically monitored through SCUS site visits to selected sites with a minimum of one week prior notification when possible. SCUS reserves the right to conduct unannounced site visits if it is deemed necessary to ensure program operations and effectiveness.

#### (b) Roles and Responsibilities of the Sub-recipient

The Sub-recipient will:

- (i) Be responsible for achieving the objectives of the Project / Program(s) as described in Appendix I, including planning, implementation, reporting and monitoring Project / Program(s) activities;
- (ii) Be responsible for the financial management and administration of the Project / Program(s), which shall be undertaken in observance with all applicable federal and state laws including 2CFR200 where applicable to relevant Sub-recipient organization type and in accordance with good management practice;
- (iii) Report in writing to SCUS within 7 days of becoming aware of any of the following:
  - 1. Changes to the overall goal, objectives, or results set out in the Project / Program(s) Plan in Appendix I;
  - 2. Implementation delays of more than 30 days;
  - 3. Changes to the amount of the total Budget for the Project / Program(s);
  - 4. Budget variance of more than percentage/amount listed in section 4(a)(ii);
  - 5. Any other issues that would or could have a significant adverse impact on delivery of the Project / Program(s) or the reputation of SCUS.
- (iv) Notify SCUS in the event of direct communication from the Donor and seek prior approval from SCUS for any resulting communication with the Donor;
- (v) If and when required by SCUS, clearly state in all external communications, including printed material referring to the Project / Program(s), that it is funded by SCUS and/or the



Donor. Additionally, any public notices or communications by the Sub-recipient to the public, and in particular to the mass media or any public forum whatsoever (including press, radio, television, cinema, internet, etc.) relating to this Subagreement shall be subject to prior authorization in writing by the SCUS. If SCUS authorizes the Sub-recipient to supply the public with information, the Sub-recipient shall ensure that such information is provided accurately. The Sub-recipient shall not use the names or logos of SCUS without the advance written consent of SCUS. The Sub-recipient shall not refer to its relationship with SCUS or to the Subagreement without SCUS's prior written approval.

(vi) Facilitate any visits from SCUS or the Donor in connection with this Agreement when required.

(c) Roles and Responsibilities of the Parties

During the implementation of the Project / Program(s) each of the Parties will avoid statements or actions which may, directly or indirectly, jeopardise the good name and reputation of the other Party.

## 4. Budget, Funds Transfers, and Financial Management

(a) Budget and Funding

(i) The Sub-recipient shall ensure that the Total Sub-award Amount including any Current Obligated Funding Amount will be used in accordance with the approved Project / Program(s) Budget (Appendix 2).

(ii) Please note that SCUS allows 10% line item flexibility within the total current obligated funding amount. This flexibility is allowed provided that any spending deviations from budget are only for the furtherance of implementation of program plans and not to supplement or supplant the existing or unforeseen costs of any of Sub-recipient's non-SCUS programs.

(iii) The Total Estimated Amount (shown on the cover page) is the total estimated amount of funds available for the work to be performed under this Agreement.

(iv) SCUS hereby obligates funds to the Sub-recipient up to the Total Obligated Amount indicated on the cover page. SCUS is not required to reimburse the Sub-recipient for any costs in excess of the Total Obligated Amount. SCUS expects to obligate additional increments up to the Total Estimated Cost, subject in all cases to the availability of funds.

(v) Upon acceptance of this Sub-award, SCUS shall make periodic payments to the Sub-recipient as detailed in the sections below. All payments to the Sub-recipient will be made by direct deposit or check in the name of the Sub-recipient as follows: **Jefferson County Board of Education**. Payments will be issued upon receipt of an acceptable financial report and generally within 30 days of receipt.

1. Sub-recipient will receive reimbursement payments as follows:

Sub-recipient will receive a reimbursement of expenses following the receipt of approved quarterly in-system financial reports. Sub-recipient receiving quarterly reimbursements should submit quarterly in-system financial reports according to the reporting schedule outlined in Section 8(b) of this Agreement.

2. ☒ Sub-recipient will receive advance payments as follows:  
 Advance payments: SCUS will make four advance payments to the Sub-recipient based on the approximate installment amounts and criteria below. These advances will normally be made on a quarterly basis. Advances are to total no more than the Sub-recipient's quarterly cash requirements and will consider the balance of unspent funds from previous advances as evidenced by the Sub-recipient's quarterly in-system financial reports. An acceptable balance of funds for the Sub-recipient will be a reasonable amount or no more than 20% of total program funds received to date. This will allow smooth program operations while the quarterly in-system finance report and subsequent advance request is reconciled and reviewed. Total advances will not exceed 80% of the total sub-award amount.

Payment Installment	Payment Amount	Requirements
1 <sup>st</sup> Advance	15% of total obligated amount	<ul style="list-style-type: none"> <li>Signed agreement</li> <li>Certificate of liability insurance</li> </ul>
2 <sup>nd</sup> Advance	20% of total obligated amount	<ul style="list-style-type: none"> <li>80% of cumulative funds received spent</li> <li>1<sup>st</sup> quarter financial report</li> </ul>
3 <sup>rd</sup> Advance	25% of total obligated amount	<ul style="list-style-type: none"> <li>80% of cumulative funds received spent</li> <li>2<sup>nd</sup> quarter financial report</li> </ul>
4 <sup>th</sup> Advance	Up to 20% of total obligated amount; not to exceed 80% of the total obligated budget	<ul style="list-style-type: none"> <li>80% of cumulative funds received spent</li> <li>3<sup>rd</sup> quarter financial report</li> </ul>
Final Payment	Reimbursement up to 100% of total obligated amount	<ul style="list-style-type: none"> <li>Project/program completed</li> <li>All reports/data submitted</li> <li>4<sup>th</sup> quarter financial report</li> <li>Reimbursement of balance of obligated amount due based on actual, approved, allowable financial reported expenditures within the sub-award term.</li> </ul>

If Sub-recipient does not meet requirements for payments to be issued beyond the first advance, Sub-recipient may submit interim financial reports reflecting 80% of cumulative funds received have been spent in order for SCUS to release the next advance installment.

(vi) Other Terms of Payment:

1. Accounting for payments: Advances shall be deposited by the Sub-recipient and maintained in a separate bank account unless the Sub-Sub-recipient utilizes a segregated fund accounting system that tracks funds by sub-award and is acceptable to SCUS. If the Sub-Sub-recipient does not have segregated fund accounting and a separate bank account is specifically excluded by legislative authority, then funding will be provided on a cost reimbursement basis.



2. Unspent Balance: Any unspent balance of funds at the completion date of the agreement must be refunded back to SCUS and should be submitted along with the final in-system financial report.

(vii) The Sub-recipient shall ensure that any amendments to the Budget are in accordance with Section 6 of this Agreement.

#### (b) Under-spending and Implementation Delays

(i) At the midpoint of the project, SCUS will work with Sub-recipient to assess spending and determine any budget changes that may be needed in order to ensure no more or less than adequate funding is obligated to support the Project. Any significant underspending that cannot be utilized for the remaining Project deliverables will likely be reduced from the obligated budget through an amendment agreed between SCUS and the Sub-recipient.

(ii) If there are implementation delays of more than 90 days to the Project/Program Plan, SCUS reserves the right to delay the transfer of funds by the delay period, unless otherwise agreed between SCUS and the Sub-recipient.

#### (c) Return of unused funds

(i) Except with prior agreement of SCUS, funds transferred to the Sub-recipient that have not been spent at the Implementation End Date are to be repaid in US Dollars and submitted to SCUS along with the final financial report.

(ii) Should the Sub-recipient cease operations, the Sub-recipient shall ensure that before such operations cease arrangements are in place for all unspent sub-award funds originating from SCUS to be repaid to SCUS and that such payment shall take place within 30 days of SCUS providing bank details for that purpose.

#### (d) Financial Management

The Sub-recipient is responsible for all matters relating to the budgeting and utilization of the sub-award funds disbursed by SCUS to the Project / Program(s) and the Sub-recipient will ensure that:

(i) a qualified person is handling the day-to-day management of funds and book-keeping;

(ii) all bank and other financial transactions related to this Sub-award are tracked and reported in a transparent manner including to enable all expenditure of Sub-award funds to be isolated, identified and accounted for;

(iii) accurate records of account of the Sub-award funds are kept in accordance with Sub-recipient accounting policies;

(iv) any interest earned on Sub-award funds are required to be returned to SCUS and;

(v) expenses are specified in the Sub-recipient's account books in at least the same level of detail as such expenses appear in the Budget so that the accounts are reported and verifiable against the Budget.

## 5. Cost Share

This Sub-award is subject to the following cost sharing requirement:

☐ The budget for this Sub-award **INCLUDES** Cost Sharing. As per budget attached, Sub-recipient agrees to contribute **14790** to the project. It is expected that Sub-recipient make every effort to meet this cost share amount during project implementation. SCUS recommends that Sub-recipient track and document this contribution for their internal purposes, however is not required to report this to SCUS.

☒ The budget for this sub-award **DOES NOT INCLUDE** Cost Sharing.

IMPORTANT NOTE: SCUS must be notified of any changes to sub-recipient cost share commitment.

## 6. Amendments

If the proposed amendment extends the duration of the Project / Program(s) or increases the total amount of the Budget, the Sub-recipient will submit, no later than 90 days before the Implementation End Date, a written request to SCUS including the reasons for the extension or increase, together with a revised Project / Program(s) Plan (Appendix 1) and Budget (Appendix 2). Such amendment will be considered approved by both Parties upon SCUS issuing its approval in writing. If an amendment is initiated by SCUS, the amendment will be considered approved when executed by both parties.

The parties acknowledge that the Budget may be revised from time to time and otherwise by the Parties in the ordinary course of implementation of the Project/Program(s). Changes to the Budget require the prior approval in writing of SCUS.

Budget amendments are typically recommended although not limited to when the following conditions apply:

1. total sub-award budget is projected to be overspent;
2. projected underspend of the total budget that is greater than 5% underspent;
3. line item changes that are greater than 10% of the total budget.

In the event that there is a modification to the total amount of this sub-award, a revised budget must be submitted for SCUS approval.



## 7. Audit and Record Retention

### (a) Audit

This sub-award requires the submission of a copy of Sub-recipient's audit that encompasses SCUS funds at the end of the sub-award. If the Sub-recipient does not have a regular annual audit, then the sub-award is subject to a project-specific, external audit at the end of the Project. The audit must be conducted by an external audit firm approved by SCUS. If the Sub-recipient must have a project-specific audit to meet this requirement, audit fees are allowable costs under SCUS sub-awards. The Sub-recipient may request additional funds to cover audit fees which will likely result in a budget revision and sub-award modification. In addition to reviewing submitted audit, SCUS finance staff will complete in-person or remote financial monitoring to review documentation supporting reported expenditures.

### (b) Financial Records

The Sub-recipient hereby agrees to record, classify and report all Sub-award financed costs in separate and segregated sub-award-specific financial accounts. The ledger and journal system must meet generally accepted accounting standards. The Sub-recipient shall maintain complete records of all costs charged to the sub-award for a period of seven years after the expiration of the award and make such records available to SCUS or its representatives for review at any time. The Sub-recipient shall document that responsible steps were taken to ensure that all purchases charged to the award are at reasonable prices and from reasonable sources.

### (c) Inspection

SCUS or any of their authorized representatives, must have the right of access to any documents, papers, or other records of the Sub-recipient which are pertinent to the award, in order to make audits, examinations, excerpts, and transcripts. The right also includes timely and reasonable access to the Sub-recipient's personnel for the purpose of interview and discussion related to such documents.

## 8. Reporting and Action Plan

### (a) Program Progress reporting

(i) Program Reporting is the sole responsibility of the partner. SCUS maintains an internet based Monitoring and Evaluation system to capture program data for Literacy, Healthy Choices, and Early Steps to School Success. This data must be updated by the sub-recipient at least weekly when the program is active.

(ii) In addition to updating the Monitoring and Evaluation system, all sites implementing Literacy programming must submit Accelerated Reader Diagnostics to SCUS on the first working day of each month.

(iii) Should program progress reports be missing from the Monitoring and Evaluation system, SCUS reserves the right to delay advance or reimbursement payments.



## (b) Financial reporting

Quarterly in-system financial reports should be uploaded to the Partner Reporting Portal according to the following periods and due dates:

Quarter 1 – July 1, 2016 to September 30, 2016 – report due October 14, 2016

Quarter 2 – October 1, 2016 to December 31, 2016 – report due January 13, 2017

Quarter 3 – January 1, 2017 to March 31, 2017 – report due April 14, 2017

Quarter 4: Final Report – April 1, 2017 to June 30, 2017 – report due July 14, 2017

The quarterly in-system financial reports will be checked and approved by SCUS program and finance staff before any subsequent payments are issued. This may require a review of the documentation supporting expenditures reflected on the Sub-recipient's quarterly in-system financial report.

(i) If adjustments to the Sub-recipient's accounting of this sub-award occur after the end of the period of sub-award or beyond June 30, 2017 thus reducing the final in-system financial report of expenditures, then SCUS requests that the Sub-recipient provide a revised final in-system financial report by no later than 30 days of the close of the month in which the adjustment occurred along with payment to SCUS for the balance of any unspent sub-award funds.

(ii) SCUS's guidelines on the format of financial reports are as follows:

1. Financial reports should be provided from the financial software of the Sub-recipient ("in system reports"). If the Sub-recipient has multiple agreements with SCUS, a separate report is needed for each agreement where each report covers only up to one site of program implementation for the Sub-recipient.
2. Expenditures should be reported to SCUS using the Sub-recipient's accounting method on a consistent basis. Any necessary accounting adjustments must be made in the current reporting period only. Once a period is reported upon to SCUS and closed, no adjustments may be made to prior reporting periods.
3. The format of the financial report must include the following items:
  - a. Budget column with program costs, line item account codes, and subtotals of program expenses (for example a sub total for In-school and a sub total for Afterschool). The financial report budget should reflect the same line items and amounts as indicated in the attached budget. The in-system report should clearly identify the line item categories within program costs that are reflected in the budget.
  - b. Actual period expenditures column that corresponds to the applicable program costs, account codes and subtotals as per line item listed in the attached budget.
  - c. Cumulative (YTD) expenditures column that corresponds to the applicable program costs, account codes and subtotals as per line items included in the attached budget.
  - d. Balance remaining by program cost, account code and subtotal as per line items listed in the attached budget.
  - e. Reconciliation of program funds summary: Program funds received Less: Actual cumulative expenditures Equals: Program funds remaining

4. Signed and dated: All financial reports must be signed and dated by the following individuals depending on the fiscal agent managing this sub-award for your school:

Board of Education: Finance Officer and the school Superintendent

Community Based Organizations: Lead Finance Staff (or CPA if applicable) and Board President.

Other Organization: Lead Finance Staff (or CPA if applicable) and Authorized Institutional Representative

5. Reports are to be submitted via SCUS online partner reporting system. SCUS Finance Contact is as follows:

**Drew Hoskins**

**Finance Manager**

**[dhoskins@savechildren.org](mailto:dhoskins@savechildren.org)**

#### (c) Other reporting

Interim financial and/or program progress reports may be requested by SCUS to meet the reporting requirements of funding source(s) supporting this Sub-award. SCUS will make every effort to provide sufficient notice to the Sub-recipient in the event that interim reporting is required.

## 9. General Procedures

#### (a) Timesheets

All salaries charged to this award are made against timesheets showing the actual time spent working on Project activities. Acceptable timekeeping practices should at minimum identify time worked on SCUS funded activities separate from other sources, time spent on specific program components in alignment with the approved budget and be approved by Sub-recipient employee's supervisor. Personnel costs reflected in financial reports that are found to be unsupported by supervisor approved timesheets by the Sub-recipient could result in disallowed costs by SCUS.

#### (b) Student Data

The Sub-recipient must provide access to student data for all children benefitting from SCUS programs to SCUS. The Sub-recipient is responsible for acquiring appropriate permissions regarding confidentiality of student data from student parents or legal guardians as necessary. First year sites that are also the first in their School District to work with SCUS, must have their District Superintendent (or their authorized representative) sign attachment I (g) "Data Use Agreement and Consent to Release Confidential Student Education Records". SCUS will not share, distribute, or disseminate identifiable student data to any third party. If a 3rd party does require that Save the Children share identifiable student data with them, Save the Children will work closely with the school and parents to ensure the appropriate consents are in place

#### (c) Limitation of Liability

- (i) The liability of SCUS is limited as it pertains to the following:



1. Any third party claims, losses and expenses that may arise from Sub-recipients negligence, recklessness or intentional act or omission that is related to or in connection with this Agreement;
  2. Compensation for the death, disability, or other hazards which may be suffered by the employees, vendors, agents or other representatives of arising from performance in connection with this Agreement; and/or
  3. Any expenditure incurred by Sub-recipient in excess of its contribution as specified in this Agreement.
- (ii) SCUS has no obligation to provide other or additional support to the Sub-recipient for implementation of the current program or for any other purposes. This provision shall survive the termination of this Agreement.

#### (d) Applicable Laws and Jurisdiction

This Agreement shall be governed by and construed in accordance with the laws of the State of Connecticut. Except as provided in this Paragraph, the parties shall settle any controversy or claim arising out of or relating to this Agreement, or the breach thereof, by binding arbitration in Connecticut. Either party to this Agreement may initiate arbitration by serving notice on the other parties of an intent to arbitrate. The notice shall specify with particularity the claims or issues that are to be arbitrated. Within ten (10) days of sending the notice to all parties, the party initiating the process shall obtain a list of available arbitrators from the local office of the American Arbitration Associations ("AAA") and shall provide the list to the other parties. The parties shall select a mutually acceptable arbitrator within ten (10) days of receiving the list, and in the event the parties are unable to agree on an arbitrator within ten (10) days, any party may petition the Presiding Judge of the Superior Court to select a single arbitrator from the AAA list. The parties shall have the discovery rights available under Connecticut's civil procedural rules, except that all discovery must be concluded within 60 days of the selection of an arbitrator and the arbitration hearing must be concluded within 30 days of the close of discovery. The hearing will be conducted in accordance with Connecticut rules of evidence. The arbitrator's final decision shall be rendered within thirty (30) days of the final hearing day. Judgment upon the arbitrator's final award may be entered in any court having jurisdiction thereof. The parties shall bear in equal shares the arbitrator's fees and costs. The prevailing party in the arbitration shall be awarded its reasonable attorney's fees and all costs, other than the arbitrator's fees and costs. The foregoing notwithstanding, any dispute arising from or in connection with the use of trademarks and/or other intellectual property may be brought before a Connecticut court of competent jurisdiction, and the party seeking such action shall be entitled to seek injunctive or other equitable relief. For the purposes of seeking equitable relief hereunder, the parties agree that the trademarks and other intellectual property have significant intrinsic and monetary value and injury by infringement or improper use would be irreparable, without the need to show inadequate monetary or other remedy at law.

- (i) In performing its obligations and exercising its rights under the Subagreement, Subrecipient shall fully comply with all applicable law (including without limitation all statutes, decrees, ordinances, administrative orders, rules, regulations, and other mandatory directives, policies, and instructions with binding legal effect), in the United States.
- (ii) Compliance costs are eligible for reimbursement under the Subagreement if they are (1) included in the Budget, and (2) comply with the Funder Applicable Cost Principles or requirements as well as any other pertinent Subagreement provision(s). However, the



Subrecipient is solely responsible, without reimbursement under the Subagreement, for all costs, risks, damages, and other liability incurred by it as a result of its failure to comply with the applicable law.

**(e) No Joint Venture; Independent Contractor; Sub-recipient Personnel**

(i) Nothing in this Agreement shall be deemed to create a joint venture, agency or partnership between the Parties and the employees of one shall not be deemed to be employees of the other.

(ii) The Parties are independent contractors with respect to each other and neither Party shall have the power to obligate or bind the other, except as specifically provided in this Agreement.

(iii) Sub-recipient personnel shall at all times be under the Sub-recipient's sole supervision, direction and control, and shall not be deemed as SCUS personnel for any purpose. Any job descriptions, employment contracts, letters or job offers should identify positions as that of the Sub-recipient and not SCUS. The Sub-recipient is solely responsible for payment of all wages, salaries, and other amounts due or to become due to such personnel in connection with the Subagreement and for all reports and obligations to social security, income tax withholding, unemployment compensation, worker's compensation, and the like. The Sub-recipient shall indemnify and hold SCUS harmless against any claim or liability (including, without limitation, fines, penalties and reasonable attorney's and expert consultant fees and costs) resulting from the Sub-recipient's failure to comply with the provisions of this Article.

**(f) Confidentiality**

"Confidential Information" means written, graphic or pictorial non-public information (in any medium) and designated by the disclosing Party as being confidential or any other information, whether written, oral or observed, which under the given circumstances would reasonably be understood by the receiving Party to be confidential. Both Parties acknowledge that any information obtained in performing this Agreement regarding the operation of a Party or its products, services, policies, systems, programs, procedures, donor relations, beneficiary information or any other aspect of its business, is Confidential Information. Both Parties will hold such Confidential Information secret and will not

(i) Use such Confidential Information for any purpose other than performance of this Agreement or

(ii) Disclose such Confidential Information, directly or indirectly, to any other person, without in each instance the prior written consent of the other Party.

**(g) Prohibition Against Terrorist Financing**

The Sub-recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with and the provision of resources and support to individuals and organizations associated with terrorism. It is the legal responsibility of the Sub-recipient to ensure compliance with these Executive Orders and laws.

The Sub-recipient, the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts. The Sub-recipient must notify SCUS immediately, in the event that it becomes aware that a Partner individual or entity is in violation of this condition.

The following steps may enable the Sub-recipient to comply with its obligations:

(i) Before providing any material support or resources to an individual or entity, the Sub-recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/tl/sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

(ii) Before providing any material support or resources to an individual or entity, the Sub-recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

(iii) Before providing any material support or resources to an individual or entity, the Sub-recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

(iv) The Sub-recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

(v) The Sub-recipient may be asked on a semi-annual basis to update the compliance information originally provided during the pre-award phase of the partnership. Information needed for the compliance check is subject to change and SCUS will notify all Sub-recipients as early as possible regarding any such changes.

#### (h) Child Safeguarding Policy

The Sub-recipient has read and will comply with SCUS's Child Safeguarding Policy (Appendix 3)

If you see or hear something you believe is violation of SCUS's Child Safety Policy share your concern by reporting it to your Program Specialist (cover sheet section 5). If you do not feel comfortable speaking with Program Specialist, you may report anonymously:

Phone toll-free within the US: 1-844-287-1892

Fax: 1-475-999-3293

Web: [Savethechildren.ethicspoint.com](http://Savethechildren.ethicspoint.com)



Or by mail addressed to: Assistant General Counsel - Compliance,  
501 Kings Highway East, Suite 400, Fairfield, CT 06825

Initial: \_\_\_\_\_  
**Donna Hargens, Superintendent**

**(i) Zero-tolerance Fraud Policy**

The Sub-recipient agrees to abide by the SCUS Zero-Tolerance Fraud Policy (Appendix 4), and is required to reimburse SCUS for any liabilities associated with fraud committed by the sub-Sub-recipient. All sub-recipient staff should be informed of this policy.

If you see or hear something you believe is violation of SCUS's Zero-tolerance Fraud Policy share your concern by reporting it to your Finance Contact (section 8(b)(5)). If you do not feel comfortable speaking with Finance Contact:

Phone toll-free within the US: 1-844-287-1892

Fax: 1-475-999-3293

Web: [Savethechildren.ethicspoint.com](http://Savethechildren.ethicspoint.com)

Or by mail addressed to: Compliance Officer, 2000 L St. NW, Suite 500, Washington, DC 20036

Initial: \_\_\_\_\_  
**Donna Hargens, Superintendent**

**(j) Intellectual Property Ownership and Use**

**(i) Definitions:**

1. "Pre-existing Materials" shall be defined as all data, reports, curricula, specifications, outlines, drafts, software, pictures, photographs, videotapes, other materials and intellectual properties, proprietary information, know-how and/or trade secrets fixed in writing or other tangible media developed by Sub-recipient separate and apart from this Sub-award.
2. "Third Party Materials" shall be defined as all data, reports, curricula, specifications, outlines, drafts, software, pictures, photographs, videotapes and any other materials and intellectual properties fixed in writing or other tangible media developed separate and apart from this Agreement and owned by or exclusively licensed to a third party.
3. "Work Product" shall be defined as all data, reports, curricula, specifications, outlines, drafts, software, pictures, photographs, videotapes and any other materials and intellectual properties fixed in writing or other tangible media first developed under this Agreement.

(ii) Incorporating Third Party Materials: Sub-recipient shall not incorporate any Third Party Materials that include a copyright or exclusive licensing notice in favor of a third party into any Work Product, unless Sub-recipient identifies such Third Party Materials and any limitations and Sub-recipient acquires a world-wide, royalty-free license to copy, use, publish and reproduce such Third Party Materials to the extent necessary for Sub-recipient and SCUS to exercise their rights in the Work Product.



(iii) **Ownership of Work Product:** Sub-recipient shall be the sole and exclusive owner of the Work Product, including all rights and interests that may qualify for protection under the laws of copyright. The Work Product will acknowledge SCUS as contributing to the development of the Work Product.

(iv) **License of Work Product and Pre-existing Materials Incorporated in Work Product:** (a) Sub-recipient hereby grants a royalty free, irrevocable, non-exclusive, world-wide license to SCUS, and to receive, copy, use but not alter to the extent that a derivative work is created, publish and reproduce the Work Product. (b) To the extent Sub-recipient incorporates any Pre-existing Materials into the Work Product, Sub-recipient further grants SCUS, as applicable, a royalty free, irrevocable, non-exclusive license to receive, copy, use but not alter to the extent that a derivative work is created, publish and reproduce the Pre-existing Materials as incorporated in the Work Product. Sub-recipient shall be acknowledged as the owner of the Pre-existing Materials as appropriate.

(v) **Specific Indemnity by Sub-recipient:** Sub-recipient will comply with all applicable laws and regulations concerning copyright and trademark in the development of Work Product under this Agreement. Sub-recipient hereby indemnifies and holds SCUS harmless for any losses, claims, damages, liabilities and related expenses, including counsel fees, incurred by or asserted against SCUS arising by virtue of Sub-recipient's reckless or intentional infringement of any applicable law or regulation concerning copyright and trademark.

(vi) **Photo:** A photograph of a person involves three rights: the ownership of the photograph (generally held by the photographer), the right to reproduce that photograph (often held through agreement by the employer or contractor of the photographer), and the privacy interest of the persons in the photographs (always held by those persons unless expressly released in writing, or waived by virtue of being engaged in a public activity or being a public/famous person). Use of photographs for which consent has not been obtained fails to respect the rights of the individuals being served and exposes SCUS and Sub-recipient to liability for breach of privacy rights. Each Party will obtain appropriate documentation of consent and release from the photographer, and/or the non-public persons in non-public settings, or of a parent or guardian if persons are minors before publishing photos in reports or materials generated under this Agreement.

**(k) Order of Precedence:**

In the event of a conflict or inconsistency between provisions of this Sub-agreement, the conflict or inconsistency will be resolved by giving precedence in the following order:

- (i) Funder Terms and Conditions
- (ii) SCUS Terms and Conditions
- (iii) Program Budget
- (iv) Program Plan

**(l) Prior Approvals**

(i) Any changes to the terms and conditions of the sub-agreement must be in writing and agreed upon by both parties (sub-recipient and SCUS authorized representatives).

(ii) The Sub-recipient shall not enter into any sub-award agreement without the prior written authorization and approval of SCUS.

(m) Insurance

(i) The Sub-recipient is solely responsible for all applicable taxes, benefits, worker's compensation insurance or equivalent, health insurance, all risk property insurance and a comprehensive general liability insurance with financially sound and reputable insurance companies, and other insurance as required under the applicable laws and naming SCUS as an additional insured. A copy of this Certificate is to be sent to SCUS as described in the cover letter of this sub-award.

(ii) The Sub-recipient warrants that it shall obtain and maintain adequate insurances against all risks in respect of any property and any equipment used for the execution of this Subagreement.

(iii) The Sub-recipient shall be solely liable for the loss or theft of, or damage to, any and all items purchased with Subagreement funds (including items in the possession of its lower-tier Sub-recipients), and as soon as reasonably practicable after any such loss, theft or damage, shall replace such items at its own expense in compliance with the procurement requirements set forth below in Article 7 (Procurement). In addition, the Sub-recipient shall be solely liable for the loss or theft of any Subagreement funds held in cash by the Subagreement or any of its agents or lower-tier Subrecipients and shall have no recourse to SCUS or the Funder for any such loss or theft.

(n) Conflict of Interest

SCUS requires that all conflicts of interest involving employees (or the families of employees) must be disclosed in writing to the Program Specialist cover sheet section 5).

Some examples of conflicts of interest:

- (i) When an employee or family member has a connection to, or significant financial interest in, another party which does or seeks to do business with SCUS.
- (ii) When an employee engages in an independent business venture or works for another organization in a way that prevents the employee from devoting the time and effort to SCUS required by his or her position.
- (iii) When an employee diverts a business opportunity of SCUS to another person or organization.
- (iv) When an employee participates in an employment-related decision regarding a family member or other person with whom the employee has a close personal relationship.

Conflicts of interest:

- (i) Must be reported promptly and in writing to the Program Specialist; and
- (ii) You must not take part in decisions related to the transaction. (If you are in doubt about a potential conflict, speak with your Program Specialist.)

Initial: \_\_\_\_\_

**Donna Hargens, Superintendent**



(o) Procurement

The procurement requirements of this sub-award require that Sub-recipients follow their organizations policies and procedures for vendor selection and purchasing based on the Sub-recipient Organization defined requirements. SCUS in no way imposes procurement requirements on Sub-recipients that are not in support of the Sub-recipients policies and procedures.

(i) In the event that the Sub-recipient Organization does not have an established Procurement Policy, SCUS requires that procurement of goods and services of single transactions costing more than \$1,000 be supported by documentation of at least three written bids from potential vendors and a written statement by the Sub-recipient listing the reasons for selecting the chosen supplier of such goods or services. Exceptions to this requirement are if the chosen supplier is approved by SCUS.

(ii) IMPORTANT NOTE: Procurement of program materials and computers per the budget attached are encouraged to be purchased within the first 3 and no later than the first 6 months of programming as these items are to be available to the program participants (students) for this sub-award period. Failure to complete the procurement of these goods in a timely manner will likely result in the deduction of those funds from this Sub-award by SCUS which will include a budget revision and sub-award modification.

(iii) IMPORTANT NOTE: Because of the crucial nature of these staff positions, Literacy, Healthy Choices, and Early Steps to School Success Coordinators as applicable and as listed in the Program Plan (Appendix 1) and budget (Appendix 2) must be formally employed by the Sub-recipient as close as feasibly possible to the sub-award start date. Any cost savings due to the time lag in hiring these staff positions will likely result in the deduction of funds from this Sub-award by SCUS in the amount of budgeted funds per day not worked which will include a budget revision and sub-award modification.

(iv) IMPORTANT NOTE: This sub-award should not be used to fund the purchase of capital assets with a value of \$5,000 or greater.

(v) IMPORTANT NOTE: Because of the high level of accountability, any procurement and resulting expenditure towards this sub-award that is deemed to be inappropriate according to the Program Plan, budget, and/or generally accepted accounting principles will result in the deduction of those funds from this Sub-award by SCUS which will require reclassification of such expenditures from the SCUS sub-award and documentation in support of the accounting adjustment.

(p) Representations and Warranties

The Sub-recipient represents and warrants that: (i) it is authorized and has the right and ability to undertake the obligations as set forth in this Subagreement; (ii) it is properly registered in all jurisdictions as may be required to perform its obligations under this Subagreement; (iii) it fully complies with Executive Order 13224 - BLOCKING PROPERTY AND PROHIBITING TRANSACTIONS WITH PERSONS WHO COMMIT, THREATEN TO COMMIT, OR SUPPORT TERRORISM.



#### (q) Indemnification

Sub-recipient shall hold harmless and indemnify SCUS and its directors, officers, agents and employees from and against all causes of action, losses, claims, liabilities, damages (including but not limited to costs, reasonable attorneys' fees, and amounts paid in reasonable settlement thereof) which arise or are alleged to arise as a result of the negligent acts, errors or omissions or willful misconduct of Sub-recipient, its directors, officers, agents or employees. Additionally, the Sub-recipient shall indemnify and hold harmless SCUS for and from all costs, risks, delays, losses, damages and other liability incurred by SCUS due to the Sub-recipient's noncompliance with such laws or failure to secure such licenses, permits, and other approvals. This paragraph shall survive the expiration or termination of this Agreement for a period equal to the running of any applicable statute of limitations, including all tolling periods.

### 10. Title, Use, and Disposition of Property

Title shall vest with the Sub-recipient for purchase made under this award.

### 11. Remedies for Non-Compliance

If the Sub-recipient fails to comply with applicable statutes, regulations or the terms and conditions of this award, SCUS may impose additional conditions, as described below in Section 12 "Specific Conditions." If SCUS determines that noncompliance cannot be remedied by imposing additional conditions, SCUS may take one or more of the following actions, as appropriate in the circumstances:

- (i) Temporarily withhold cash payments pending correction of the deficiency by the Sub-recipient.
- (ii) Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.
- (iii) Wholly or partly suspend or terminate this award.
- (iv) Take other remedies that may be legally available.

### 12. Specific Conditions

(i) SCUS entity may impose additional specific award conditions as needed, in accordance with paragraphs (b) and (c) of this section, under the following circumstances:

1. When a Sub-recipient has a history of failure to comply with the general or specific terms and conditions of a Federal award;
2. When a Sub-recipient fails to meet expected performance goals contained in the award;  
or
3. When a Sub-recipient is not otherwise responsible.

- (ii) These additional award conditions may include items such as the following:
  - 1. Requiring payments as reimbursements rather than advance payments;
  - 2. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given period of performance;
  - 3. Requiring additional, more detailed financial reports;
  - 4. Requiring additional project monitoring;
  - 5. Requiring the sub-recipient to obtain technical or management assistance; or
  - 6. Establishing additional prior approvals.
- (iii) SCUS will notify the Sub-recipient as to:
  - 1. The nature of the additional requirements;
  - 2. The reason why the additional requirements are being imposed;
  - 3. The nature of the action needed to remove the additional requirement, if applicable;
  - 4. The time allowed for completing the actions if applicable, and
  - 5. The method for requesting reconsideration of the additional requirements imposed.
- (iv) Any specific conditions must be promptly removed once the conditions that prompted them have been corrected.

## 13. Termination

### (a) Termination by SCUS

SCUS may unilaterally terminate this Agreement at any time, in whole or in part, for any of the following reasons:

- (i) Sub-recipient material noncompliance; or
- (ii) the Sub-recipient's financial insolvency, bankruptcy, assignment in favor of creditors, or similar or comparable status; or
- (iii) Donor termination or non-funding of all or part of SCUS Award with the Donor.

### (b) Mutual Termination

The Parties may mutually agree to terminate the Agreement at any time, in whole or in part, upon such terms and conditions as may be agreed between them.

### (c) Terms of Termination

(i) Termination shall be effected by written notice to the terminated Party. The notice shall identify the basis for termination, the reason(s) therefore, the effective date of the action, a statement identifying which part (or all) of the remainder of the Agreement Term or the program activities is terminated, and procedures and standards, as appropriate, for phasedown costs and submission of final invoices.

(ii) The termination shall be effective on the date stated in the notice.

(iii) Unless otherwise stated in the termination notice, or as otherwise approved on a case by case basis, SCUS shall not be obligated to reimburse the Sub-recipient for any expenses incurred after the termination effective date. The Sub-recipient shall, with due regard to economy, effect an expeditious but orderly phasedown of program activities and



implementation efforts. Reasonable phasedown costs will be reimbursed. Notwithstanding termination, SCUS's obligation to reimburse termination costs under this Article shall in all respects be subject to funding from the Funder and, if required, Funder approval.

#### (d) Force Majeure

Any delay or failure of required obligations by the Sub-recipient, shall be excused if and to the extent caused by acts of God, fire, storm, lockout, strike, terrorist act, flood, sabotage, embargo, war (whether declared or not), riot, or other causes beyond the reasonable control of the Sub-recipient.

If the Sub-recipient asserts Force Majeure as an excuse for failure to perform their obligations, then the Sub-recipient must:

- (i) Notify SCUS of the likelihood or actual occurrence of an event described in this clause;
- (ii) prove that reasonable steps were undertaken to minimize delay or damages caused by foreseeable events; and
- (iii) fulfill all non-excused obligations.

Upon review of the Sub-recipient's notice, SCUS shall determine whether the term of the Agreement shall be extended for a reasonable time period to complete activities interrupted by the delays or whether the Subagreement shall be terminated without further liability to either party.

## 14. Assignment

The Sub-recipient shall not assign, transfer, subcontract, subaward, or attempt to do any of the foregoing, except for the following types of general support services: communication, translation, photocopying of documents or similar services, without the prior written consent of SCUS (absent which such action or attempted action shall have no effect as against SCUS).

## 15. Severability

If any provision of this Subagreement is deemed by any court of competent jurisdiction to be void, voidable, invalid or unenforceable for any reason, the remainder of the provisions shall not be affected and shall remain valid and enforceable.

## 16. Non-Waiver

Failure by SCUS to insist upon strict compliance with any provision of this Subagreement shall not be deemed to be a waiver or relinquishment of, or otherwise to affect or modify, any of SCUS's rights or Sub-recipient's duties hereunder, nor shall any waiver or relinquishment of any such right or duty in one case be construed as a waiver or relinquishment in another case.

**Save the Children Program Component  
Early Childhood Development**

**Early Steps to School Success (ESSS) Expectations:**

**Partner and Save the Children Responsibilities:**

- ☐ To achieve the following goals of ESSS:
  - 1) Children will enter school with the skills necessary for school success.
  - 2) Parents will have the skills and knowledge to support their children's education.
  - 3) Home/school connections will be strong.
  - 4) Early childhood knowledge and skills in the community will be increased.
- ☐ To meet the ESSS program objectives:
  - 1) Parents and children together will participate in Early Steps from pregnancy or early enrollment, until the child enters kindergarten.
  - 2) Parents will develop knowledge and skills in promoting their child's early development with a special emphasis on social/emotional development and early literacy and language development.
  - 3) Parents will read to their children on a daily basis.
  - 4) Parents will participate in school-based activities.
  - 5) School activities and Early Steps activities will be linked.
  - 6) Early Steps staff will have early childhood knowledge and demonstrate competencies that are consistent with current evidence-based practices.  
The program provides home visiting services to families year round.
- ☐ To adhere to the principles of the program:
  - 1) Partners will enroll pregnant families and the youngest children (preferably under one year) and the neediest families as defined by the partner.
  - 2) Program experiences and activities will be individualized according to the needs of the child and family.
  - 3) Cultural values of families will be respected and honored.
  - 4) Service delivery options (home visiting and parent/child groups) will be based on the needs of the family and staff safety.
  - 5) The program will collaborate with existing community efforts.
  - 6) The program will support the multiple dimensions of child development: cognitive, physical, social and emotional development.
  - 7) Parents will be supported in their role as the child's first and primary teachers.
  - 8) Children will be in safe environments.
  - 9) Program experiences and activities will be consistent with evidence-based practices.

**Partner Site Responsibilities:**

- ☐ Identify and hire a qualified Early Childhood Coordinator whose language reflects that of the population being served. Ex. An Early Childhood Coordinator who provides services to families who are monolingual Spanish, must be bilingual. Partners are encouraged to include the ESSS Program Specialist with hiring process.



- ☐ Provide regular, ongoing supervision and support to the Early Childhood Coordinator that includes:
  - Regular meetings between the ECC and Site Supervisor
  - Observation of at least 2 home visits per year conducted by the ECC.
  - Observation of at least 1 Parent/Child Group per year conducted by the ECC
  - Regular meetings between Save the Children ESSS Program Specialist and Site Supervisor
  - An annual review of the ECC's performance completed by their supervisor.
  - Review of mileage reimbursement requests, and sign-in/sign-out logs to ensure consistency with home visit documentation (Family Planning Forms) signed by parents.
- ☐ Utilize the Early Childhood Coordinator for ESSS functions only. Early Childhood Coordinator responsibilities do not include acting as a substitute teacher at any given time during the school day, assisting with bus or lunch duties, running sports or other extra-curricular activities, using preparation/planning time for other non-early childhood activities (e.g., monitoring assemblies, assisting with non-early childhood related classroom activities).
- ☐ Provide an environment that allows for a flexible schedule to accommodate the needs of families with young children receiving services in a home-based environment.
  - This may include making evening and weekend visits and providing services on days that schools are closed.
- ☐ Provide adequate space and supplies to the ECC. This must include:
  - A Microsoft Windows PC computer with high speed internet access
  - Microsoft Internet Explorer Browser (USP Systems require IE for full functionality)
  - An accessible telephone and available telephone line located near the computer.
  - Space for parent/child group meetings/events.
  - Adequate storage space.
  - Access to purchasing appropriate infant/toddlers supplies and materials within district guidelines and budget codes.
- ☐ Provide an orientation to the Early Childhood Coordinator upon hire that includes information on:
  - Benefits including leave and health insurance
  - Time sheet completion
  - Mileage reimbursement submission
  - Policies on reporting Child Abuse and Neglect
  - Policies related to Confidentiality
- ☐ Ensure that the Early Childhood Coordinator:
  - Plans monthly site visits with the Early Childhood Specialist that include 1-2 home visits, a file review, recent training follow-up and a meeting with the Site Supervisor.
  - Inputs data weekly with all data entered by the 5th of the month following when data was collected.
- ☐ Enroll and maintain enrollment of 20 children in the Home Visiting component of each ESSS program. This includes pregnant women and children ages birth to 3.
- ☐ Enroll 30 3-5 year olds are enrolled in the 3-5 Book Bag Exchange component of each ESSS program. This includes enrolling children who transition from the Home Visiting component.

- ☐ Provide each family in the home visiting component with a minimum of 2 home visits per month that last approximately an hour and includes the Book Bag Exchange with documentation of the number of times the child is read to or engaged in a literacy-based activity.
- ☐ Make up missed home visits so that each family participating in the Home Visiting component receives an average of 2\* visits per month in any given period.
- ☐ Hold a minimum of 1 Parent/Child Group per month for all children and families enrolled in ESSS or on the waiting list. (This can also be opened to other children and families in the community.)
- ☐ Identify a qualified PPVT Examiner (and/or PLS Examiner) to test eligible 3 and 5 year olds.
- ☐ Complete PPVT or PLS testing on all eligible 3 and 5 year olds.
- ☐ Conduct a quality check (Parent Satisfaction Survey) with all families semi-annually.
- ☐ Participate in a Program Quality Assessment (PQA) at the site at least every two years.

**Save the Children Responsibilities:**

- ☐ Provide training and technical assistance including:
  - Orientation training within the first 90 days of programming for all Early Childhood Coordinators, partnership site coordinators, Early Childhood Program Specialists, or other relevant curriculum partners
  - 3-4 Group Trainings (Clusters) per year for all Early Childhood Coordinators.
  - Regular training, technical assistance and coaching via monthly site visits and phone calls.
  - Distance learning and support via facilitated national discussions, monthly audio and web-based conference training.

**Additional information about the ESSS program can be found on the Partner Portal at:**

<https://uspartners.savethechildren.org/EarlyChildhood/Shared%20Documents/Forms/AllItems.aspx>

- ☐ Additionally, Save the Children considers the following characteristics essential for successful ESSS partnerships:
  - Identified need in the community for early childhood development services for children ages prenatal to five.
  - Agency/school interest and vested support in serving families with children prenatal to five.
  - Agency/school already providing some services for children prenatal to 3<sup>rd</sup> grade.
  - The partner is a school based program or community based agency with strong connections to the school.
  - Partner has facility capacity, including space for parent/child group meetings.
  - Partner has the organizational capacity to add on and develop a new program (i.e. ability to manage program and supervise staff).
  - There is support from the school/agency leadership for the program.
  - Partner would not be duplicating services provided by other organizations.



**DATA USE AGREEMENT AND  
CONSENT TO RELEASE CONFIDENTIAL STUDENT EDUCATION RECORDS**

**THIS DATA USE AGREEMENT AND CONSENT TO RELEASE CONFIDENTIAL STUDENT DATA AGREEMENT** ("Agreement") is entered into as of the date last signed below by and between the Board of Education of the "District" (as named in the signature block below), **Save the Children Federation, Inc.**, ("Data Recipient"), and **Renaissance Learning, Inc.** ("Renaissance"). Collectively referred to as the "Parties", and each, a "Party".

**WHEREAS**, the District has selected Renaissance to provide services ("Services") that require Renaissance to receive and collect: student, classroom, and school-level data ("Stored Data").

**WHEREAS**, the District has requested that Renaissance share the Stored Data with Data Recipient; and

**WHEREAS**, Renaissance agrees to assist District in providing the Stored Data to Data Recipient.

**NOW, THEREFORE**, in consideration of the foregoing and the mutual covenants contained herein, the parties hereby agree as follows:

**1. PURPOSE.** The purpose of this Agreement is to explicitly state the District's consent for Renaissance to release the Stored Data to Data Recipient.

**2. TERM.** This Agreement shall become effective on the date first written above and, subject to any earlier termination as provided herein, shall remain in effect until 10 days after District gives written notice to Renaissance. The obligation of indemnification set forth in Paragraph 6 shall survive the termination of this Agreement.

**3. CONTRACTOR RELATIONSHIPS.** It is agreed that the legal relationship between Renaissance, Data Recipient and the District is of a contractual nature. District and Data Recipient agree that Renaissance is at all times acting as a contractor and is, in performing its duties under this Agreement, acting for the District. The District acknowledges that it is contracting with Renaissance and requesting Renaissance to share the Stored Data with Data Recipient because the District needs the assistance of Renaissance to share the Stored Data. The District also acknowledges that both Renaissance and Data Recipient have a legitimate educational interest in the Stored Data.

**4. CONFIDENTIAL INFORMATION.**

a) Consent to Release Student Education Records. The District authorizes Renaissance to release the Stored Data which includes student "education records" as defined in the Family Educational Rights and Privacy Act (FERPA) and any confidential information or records as defined by applicable state law, whether as aggregate data or personally identifiable information, to Data Recipient.

b) Redisclosure of Student Education Records. Data Recipient agrees that it will not redisclose the Stored Data without the prior consent of the parent or eligible student to whom the education record and/or student record refers.

c) District Record of Disclosure. The District will maintain a record of disclosure, as required by 34 C.F.R. § 99.32(b), containing the name of Data Recipient and the legitimate interests which Data Recipient has to the Stored Data.

d) Student Education Records. Consistent with this Agreement, Data Recipient will comply with the relevant requirements of FERPA, the Individuals with Disabilities Education Act (IDEA), and any applicable state student records law, regarding the confidentiality of student "education records" as defined in FERPA and other confidential student information. Data Recipient will limit internal access to the Stored Data to only those employees who reasonably need access to the Stored Data in order to perform Data Recipient's responsibilities to the District.

**5. NOTIFICATION TO PARENTS AND STUDENTS.** The District agrees that, if required by law, it will disclose Renaissance and Data Recipient as contractors retained to provide various institutional services and functions on the annual FERPA notice sent to parents and students in the District pursuant to 34 C.F.R. § 99.7.

**6. INDEMNIFICATION.**

a) General Indemnification. To the fullest extent permitted by law, the District and Data Recipient each agrees to indemnify, defend and hold harmless Renaissance, its board, its officers and, employees from and against any and all claims, demands, suits, liabilities, injuries, causes of action, losses, costs, expenses, damages or penalties, including, without limitation, defense costs arising or resulting from, or occasioned by or in connection with any release of the Stored Data by, respectively, the District or Data Recipient or their subcontractors; including but not limited to: breach of its duty to comply with any laws or regulations applicable to this Agreement, including but not limited to FERPA, IDEA, or any state Student Records Law or the breach of any provision in this Agreement by the District or Data Recipient. The obligation of indemnification set forth in this Paragraph shall survive the termination of this Agreement. It is expressly

understood and agreed that this indemnification agreement is not joint and that neither the District nor Data Recipient is responsible for any breach by the other party.

b) Investigation or Order from the Family Policy Compliance Office. District and Data Recipient agree they will notify Renaissance if either of them is contacted by the Family Policy Compliance Office, or any successor government office or agency charged with enforcing FERPA, or any state agency charged with enforcing state student records laws regarding any services or disclosure of records contemplated by this Agreement. Such notice shall be made in writing within three (3) business days of the first contact the government agency makes with District or Data Recipient.

## 7. GENERAL PROVISIONS.

a) Amendment. This Agreement may only be amended in writing signed by all Parties.

b) Entirety. This Agreement constitutes the entire Agreement between the Parties with respect to the subject matter hereof, and supersedes any other negotiations, agreements or communications, whether written or oral, that have been made between any Parties with respect to the subject matter hereof.

c) Governing Law. This Agreement shall be governed by the laws of the State of Wisconsin.

d) Severability. In case any provision in this Agreement is held to be invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining provisions shall not be affected.

e) Authority to Execute. Each Party represents and warrants to the other Parties that this Agreement has been duly authorized, executed and delivered by and on behalf of each such Party, and constitutes the legal, valid and binding agreement of said Party.

f) No Waiver. No course of dealing or failure of any Party to enforce strictly any term, right or condition of this Agreement shall be construed as a waiver of such term, right or condition. No express waiver of any term, right or condition of this Agreement shall operate as a waiver of any other term, right or condition.

g) Assignment. This Agreement only be assigned in writing signed by all Parties.

**IN WITNESS WHEREOF,** the Parties have executed this Agreement as of the last date written below.

\_\_\_\_\_  
District name (“DISTRICT”)

**SAVE THE CHILDREN FEDERATION, INC.**

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**RENAISSANCE LEARNING, INC.**

\_\_\_\_\_  
Authorized signature

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



## Save the Children, US Programs Technology Guidelines

### Technology Goals

Save the Children U.S. Programs is committed to using computer technologies and communication networks to strengthen our ability to reach and affect the lives of children. Our vision is to use technology to achieve greater results, analyze student success patterns, measure the effectiveness of our initiatives, and streamline communications. Partners must be committed to having and maintaining the technology infrastructure to take part in these efforts.

A Partner must have a reasonable number of serviceable computers in a computer lab and/or library to be used by children who participate in the programs supported by Save the Children. It is recommended that there be 1 computer for every 5-10 children participating in our afterschool and SummerBoost programs. Every Partner must have a qualified Technology Specialist who will be responsible for ensuring the appropriate technology is accessible by program staff and children. Program staff must be committed to using the tools provided.

Save the Children's Literacy Program, in the afterschool and summer settings, utilizes web-based software (Renaissance Place) and information hosting provided by Renaissance Learning. Their literacy software, (Accelerated Reader, STAR Reading, and STAR Early Literacy) use computerized quizzes and assessments to measure students' comprehension and progress. Beginning with the 2015-2016 school year, all Partners are required to use the hosted version of Renaissance Place that is directly provided by Renaissance Learning. This relieves some of the burden from often overtaxed resources of schools and districts, while making it easier for Save the Children to monitor effectiveness and measure student progress. Renaissance Learning has also discontinued updating the custom installed versions of their products.

As part of our efforts to meet the above goals, Save the Children utilizes two web-based systems for monitoring and evaluation purposes of our school age and early childhood programs: SCORE (Save the Children's Online Reporting and Evaluation system) for tracking school age children and the Early Steps System for tracking early childhood children. Partners are required to use these systems to track the children enrolled in Save the Children's US Programs. In addition, a web-based portal, our USP Partner Portal, is utilized to give Partners access to Save the Children training and technical assistance resources and to ease collaboration with our staff.

### Technology Guidelines

The following are guidelines and technical requirements for computers which will be used in our programs. The Partner's Technology Specialist should use these requirements to assess the readiness of the site to access and utilize Save the Children's systems, including SCORE, the Early Steps System, the USP Partner Portal, and for Renaissance Learning software where literacy program is taking place. The Technology Specialist should participate in

the budget creation process and identify computers needed. Save the Children is willing to work with Partners to help bridge equipment gaps and, where possible, consider alternate approaches.

- One computer for every 5-10 children in school-aged literacy program (Based on average daily attendance: Afterschool or Summer)
- Apple Macintosh computers are compatible with Renaissance Learning products, but at least one Microsoft Windows PC is required for Save the Children applications (including SCORE, the Early Steps System and the USP Portal). **Save the Children applications do not run on Apple computers.**
- High speed Internet access
- Browser: See specifics below.
- Technology consultant/specialist needed to work on Renaissance Place set-up (if new model) and maintenance (new & existing models)
- Telephone (preferably speaker phone) located near a computer
- Adequate number of quality printers

### Save the Children Technology Requirements

Below are minimum technical requirements for computers to run Save the Children's Monitoring & Evaluation system(s) (SCORE and the Early Steps System), and Save the Children's USP Portal. All applications are web-based, and therefore will not be housed on a Partner's server.

Please refer to Renaissance Learning's "Renaissance Place Technical Recommendations" (Appendix 1) for specific guidelines related to their products.

Technology Component	Save the Children Technology Requirements
Computer	There must be at least one PC available on site. Save the Children applications do not run on Apple computers.
Web Browser*	Recommended: Internet Explorer (IE) 11 / Minimum: Internet Explorer (IE) 9 <i>*Although other browsers may work in some instances, our systems are not supported on non IE browsers at this time</i>
Operating System	Recommended: Windows 7 or higher / Minimum: Windows Vista
Processor & RAM	Follow minimum requirements for your operating system
Screen Resolution	1280x720 or higher
Printer(s)	Required
Internet Connection	Broadband Internet Connection (DSL, Satellite, or Cable)
Other Requirements	<ul style="list-style-type: none"> <li>• Excel 2007 or higher</li> <li>• JavaScript should be turned on in the browser for best user interface experience</li> </ul>



## Appendix 1: Renaissance Place Technical Recommendations

### Renaissance<sup>™</sup> Place TECHNICAL RECOMMENDATIONS

- Throughout this document, you will see both Recommended and Minimum requirements. Please follow the Recommended requirements for optimal performance and access to all the latest features.
- Please provide a copy of this document to your school administrator or technical representative for review.
- Renaissance Place is an integrated, web-based information system. As a result, accessing your Renaissance Place applications is done in the same way you open an Internet website.
- Renaissance Learning maintains a Knowledge Base of helpful articles at <http://support.renaissance.com>.
- As of June 15, 2015, we will no longer support Windows XP with Service Pack 2. This is reflected in the chart on the right.
- As of August 1, 2015, Internet Explorer 8 will no longer be supported for Renaissance Place, although we do expect student applications to continue to function at this time, with some limitations.

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### CLIENT WORKSTATION RECOMMENDATION

Client	Windows		Macintosh	
	Recommended	Minimum	Recommended	Minimum
Web Browser <sup>a, b</sup>	Internet Explorer 9.x–11.x <sup>c</sup> , Firefox 27.0 or later, or Chrome 26 or later	Internet Explorer 8.x, Firefox 14.x–26.x, or Chrome 23–25	Safari 6.0–8.0, Firefox 27.0 or later, or Chrome 26 or later	Safari 5.1 <sup>d</sup> , Firefox 14.x–26.x, or Chrome 23–25
Operating System <sup>e</sup>	Windows 7–8.1	Windows XP Service Pack 3, Vista	OS X v10.7–v10.10	OS X v10.6
Screen Resolution	1024 × 768 display resolution, thousands of colors	1024 × 600 display resolution, 256 or more colors	1024 × 768 display resolution, thousands of colors	1024 × 600 display resolution, 256 or more colors
Internet Connection	Broadband Internet connection (DSL, satellite, or cable)			
Mobile Devices	<p><b>Chromebooks</b></p> <ul style="list-style-type: none"> <li>All Renaissance Place products are compatible on Chromebooks and other Chrome OS devices—simply enter your school's Renaissance Place URL in the web browser. Adobe Flash Player is required for English in a Flash and some resources.</li> </ul> <p><b>iOS Native Apps</b></p> <ul style="list-style-type: none"> <li>Accelerated Reader on iOS: iPad®, iPod touch®, or iPhone® running iOS 5.x or later. <a href="https://itunes.apple.com/us/app/accelerated-reader/id440734561?mt=8">https://itunes.apple.com/us/app/accelerated-reader/id440734561?mt=8</a></li> <li>Accelerated Reader 360 on iOS: iPad® 2+ running iOS 7.x or later. <a href="https://itunes.apple.com/us/app/accelerated-reader-360/id948069576?mt=8">https://itunes.apple.com/us/app/accelerated-reader-360/id948069576?mt=8</a></li> <li>STAR on iOS: iPad® running iOS 5.x or later. <a href="https://itunes.apple.com/us/app/star/id632254791?mt=8">https://itunes.apple.com/us/app/star/id632254791?mt=8</a></li> </ul> <p><b>NEO 2</b> (an eLearning device available from Renaissance Learning)</p> <ul style="list-style-type: none"> <li>Accelerated Reader SmartApplet: NEO 2 and NEO Manager.</li> <li>KeyWords RP Reports: NEO 2 and NEO Manager, and KeyWords SmartApplet 3.3 or later.</li> <li>MathFacts in a Flash SmartApplet: NEO 2 and NEO Manager.</li> <li>Responder SmartApplet: NEO 2 and Renaissance Responder Scoring Software.</li> </ul> <p><b>Tablets</b></p> <ul style="list-style-type: none"> <li>Accelerated Reader, Accelerated Math, Accelerated Math 2.0, and MathFacts in a Flash student applications are supported using a web browser on tablets 7 inches or larger. Simply enter your school's Renaissance Place URL in the web browser. Note: Devices running versions of Android older than 4.0 (pre-Ice Cream Sandwich), including first-generation Kindle Fire and Nook Color, are not supported. Performance may also be degraded on single-core processor devices.</li> <li>STAR testing is supported using a web browser on tablets 7" or larger. Students must use Safari 6 or later, Chrome 23 or later, Firefox 27 or later, Silk on Kindle Fire HD, or Internet Explorer 11. Simply enter your school's Renaissance Place URL in the web browser.</li> <li>The Accelerated Reader 360 Instructional Reading component works on most tablets 7" or larger, and is recommended on Android tablets running Chrome and iPads. Simply enter your school's Renaissance Place URL in the web browser. Follow the Renaissance Place recommendations for the Accelerated Reader 360 Independent Reading component.</li> </ul>			
Components	<p>Adobe Reader 9 or later<sup>f</sup></p> <p>Adobe Flash Player 10.0 or later<sup>f</sup></p> <p>RLU Print Plug-In (only used in Accelerated Math)</p>			
Other	<p><b>Accelerated Math or Accelerated Math 2.0 (paper assignments only):</b> A 6ppm or higher laser printer is required. Paper assignments may be scored in a browser with an AM Enterprise subscription, or with an AccelScan mark reader, Renaissance Responder Scoring Device, and/or NEO 2.</p> <p><b>Accelerated Reader 360 Instructional Reading:</b> The Accelerated Reader 360 App is required for full functionality on iPads. All other computers/devices require Chrome 32 or later and the AR 360 Chrome Reader to read paid eBooks from Google Play for Education, our retail partner. You will be prompted to install the Chrome Reader the first time you preview or read a paid book in Chrome.</p> <p><b>Accelerated Reader Recorded Voice Quizzes, English in a Flash, STAR Early Literacy, and STAR Math with Audio support:</b> Sound card and headphones or speakers.</p>			

- a. Follow the recommended requirements when accessing the Accelerated Reader student interface, Accelerated Reader teacher-made quiz authoring, Accelerated Math student interface, Accelerated Math 2.0 teacher functions, STAR Growth Proficiency Chart, and STAR Custom administrator and student functions. If you are using a browser or system listed in the minimum sections, you may have a degraded experience or the features may not be accessible.
- b. STAR Custom Administrator Item Authoring functionality for TEI (Technology Enhanced Item) is only supported using Google Chrome.
- c. Internet Explorer 10.x and 11.x are only supported when launched in Desktop mode on Windows 8.x. Internet Explorer in the Windows 8 UI (formerly known as Metro) is not supported.
- d. Macintosh OS X v10.6 running 32-bit must use Firefox or Chrome to view reports.
- e. Renaissance Place is compatible with 64-bit Windows operating systems when accessed in a 32-bit browser. You may use either Firefox, Chrome, or the default 32-bit version of Internet Explorer to log into Renaissance Place.
- f. You must meet the minimum requirements for your operating systems. Newly released versions of these components may or may not be compatible.

Renaissance Learning<sup>™</sup> | P.O. Box 8036 | Wisconsin Rapids, WI 54495-8036

Phone: (800) 338-4204 | Fax: (715) 424-4242 | Website: [www.renaissance.com](http://www.renaissance.com) | Email: [support@renaissance.com](mailto:support@renaissance.com)

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LEARNING  
Accelerating Learning

RA1021.150607



## Renaissance™ Place TECHNICAL RECOMMENDATIONS

If you have any  
technical questions  
about Renaissance  
Place, call:

**(800) 338-4204**

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## ADDITIONAL CLIENT REQUIREMENTS AND RECOMMENDATIONS

- ActiveX controls and plug-ins need to be enabled if using Internet Explorer on Microsoft Windows operating systems.
- Depending on which Renaissance Place applications/features will be used, there are a number of client applications/plugins that are required. They include Adobe Reader, Adobe Flash, and the Renlearn Print Plug-In. The AccelScan application is required if scoring Accelerated Math or Accelerated Math 2.0 assignments using a scanner. Renaissance Responder Scoring Software must be installed on teachers' computers if students are using NEO 2s or Renaissance Responder scoring devices with Accelerated Math or Accelerated Math 2.0. All client applications/plugins should be installed as a local administrator to the workstation. Access <http://support.renaissance.com/techkb/techkb/11065865e.asp> to view a chart showing the client applications/plugins and where they are used in the software.
- If using a firewall, proxy, and/or content filter, some changes may need to be made for Renaissance Place applications to function properly.
  - ▶ Numerous errors will occur in the software if the proxy server caches Renaissance Place web pages. Accessing the site via HTTPS may prevent the proxy from caching pages, however you may want to configure your network so that users bypass the proxy server entirely when accessing Renaissance Place.
  - ▶ STAR Early Literacy and STAR Math with Audio support require students to download MP3 files from Renaissance Place; if you use content filtering be sure to allow this type of activity.
  - ▶ Allow access to Renaissance Learning resources to be sure the software functions as designed. Add an exception within your firewall, proxy, or content filtering software to allow inbound and outbound http and https communication with the \*.renlearn.com domain as well as access to and from \*.renlearnrp.com and \*.renaissance.com. For a complete list of Renaissance Learning resources used by Renaissance Place, see Knowledge Base article #9345286 <http://support.renaissance.com/techkb/techkb/9345286e.asp>.
  - ▶ Allow inbound and outbound http and https communication access to **ajax.googleapis.com** (hosted by Google) and **ajax.aspnetcdn.com** (hosted by Microsoft). Certain Renaissance Place features access JavaScript libraries from these content delivery networks; you must allow access to the sites to be sure the software functions as designed.
- If pop-up blockers have been installed on the workstations, you will need to either disable or uninstall your pop-up blocker, or allow pop-ups from your Renaissance Place website. See Knowledge Base article #4751376 <http://support.renaissance.com/techkb/techkb/4751376e.asp> for more information.
- Verify you have adequate bandwidth to support task usage estimates. See Knowledge Base article #3943285 <http://support.renaissance.com/techkb/techkb/3943285e.asp>.
- The AccelScan application is required if scoring Accelerated Math or Accelerated Math 2.0 assignments using the scanner. Scanner warranty information can be viewed online in the *AccelScan User's Guide*, available at <http://doc.renlearn.com/KMNet/R003244104GF2920.pdf>.

As technology advances it becomes necessary for software companies to drop support for older operating systems and third-party software. It is the responsibility of customers to keep their computers, networks, operating systems, and third-party software up-to-date and functional. Although Renaissance Learning will not discontinue support for older products immediately, we will continue to evaluate system requirements and do our best to provide advance notice when it becomes necessary to raise our requirements. The recommended technologies included in this document were defined at the time this product was developed. We will do our best to support new technologies that ship after this product was developed, but cannot recommend those. For the most up-to-date system requirements, please check online at <https://www.renaissance.com/customer-center/systemrequirements>.



<b>Program Year:</b>	2016-2017
<b>State:</b>	Kentucky
<b>Site:</b>	Young Elementary
<b>Approval Date/Time:</b>	May 15 2016 8:21PM

Plan Page Name	Plan Heading Name	Question	Response
Site Details	General	District	JEFFERSON COUNTY
		Site Name	Young Elementary
	Shipping Address	Address 1	Young Elementary
		Address 2	3526 W. Muhammad Ali Boulevard
		Address 3	
		City	LOUISVILLE
		State	Kentucky
		Zip	40212
		County	JEFFERSON
		Phone	502-485-8354
		Fax	502-485-8880
		Website	<a href="http://www.jefferson.k12.ky.us/Schools/Elementary/Young.html">http://www.jefferson.k12.ky.us/Schools/Elementary/Young.html</a>
		Notes	
	Mailing Address	Address 1	Young Elementary
		Address 2	3526 W. Muhammad Ali Boulevard
		Address 3	
		City	LOUISVILLE
		State	Kentucky
		Zip	40212
Fiscal Agent Details	Fiscal Agent Details	Fiscal Agent	Jefferson County Board of Education
		Fiscal Agent Relationship for this Plan	Sub award
		Address 1	Jefferson County Public Schools
		Address 2	3332 Newburg Road

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<b>Fiscal Agent Details</b>	<i>Fiscal Agent Details</i>	Address 3	
		City	LOUISVILLE
		State	Kentucky
		Zip	40218
<b>District Dates</b>	<i>District Date Details</i>	First Day of School	08/10/2016
		Last Day of School	05/24/2017
		Fall Break From	09/30/2016
		Fall Break To	10/04/2016
		Winter Break From	12/19/2016
		Winter Break To	01/02/2017
		Spring Break From	04/03/2017
		Spring Break To	04/07/2017
		Other Breaks/Holidays	
		State Testing Dates	5/8/2017 to 5/12/2016
<b>Plan General Questions</b>	<i>General Interest Questions</i>	I have read and agree to the Technology Requirements for USP Systems	Yes
		Is your district able to act as a distribution point for Gifts in Kind donations? This works best if you have access to a secure space of at least 1,000 square feet, a fork lift or power jack, and a loading dock. However, sites without those items are still able to act as a distribution center for some donations.	Yes
	<i>General Family Engagement Questions</i>	Does your school have goals and objectives related to Family Engagement included in your School Improvement Plan?	N/A
		Additional Comments (Type N/A if you answered No or N/A above)	NA
		Does your school currently employ a staff person, such as a Family Resource Coordinator or Home School Liaison/Coordinator, responsible for leading Family Engagement?	N/A
		If Yes above, please enter this persons role/title (Type N/A if you answered No or N/A above)	NA
	<i>Emergency Preparedness</i>	Does your school have a multi-hazard plan (i.e., a plan for a variety of hazards or disasters)?	Yes
		If your school does have a multi-hazard plan, does it include information for others who may use the school (e.g., Head Start, after-school programs)?	Yes





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Plan General Questions	Emergency Preparedness	If your school does have a multi-hazard plan, does it include information on how to care for students or staff with disabilities or access and functional needs/special needs?	Yes
		What resources (e.g., supplies, technical expertise, training) would MOST help your school get better prepared for disasters or emergencies?	Everything is taken care of by JCPS.
		What is your top safety, security, and/or disaster preparedness concern(s)?	Tornado preparation
		If your school gets funding from others (e.g., state department of education, PTA) to help with disaster preparedness activities, who does it get funding from?	None
		What disasters/hazards do you feel your school is LEAST prepared for?	Earthquake preparation
		What disasters/hazards do you feel your school is MOST prepared for?	Fires
		Does your school have a plan for how to reunite children with their families after a disaster?	Yes
		How often do you practice a drill (e.g., fire, tornado, earthquake) during the school year?	Once a month
Site Demographics	Projected Number of Children at Site for Program Year	# Females	279
		# Males	282
		Total School Population	561
		Pre-K	77
		K	72
		Grade 1	83
		Grade 2	84
		Grade 3	97
		Grade 4	77
		Grade 5	71
		Grade 6	0
		Grade 7	0
		Grade 8	0
		% of Students Eligible for free/reduced lunch	90
		Is there a summer program other than Save the Children's at your school?	No
		If Yes, Please Describe	
	RL Licenses	# STAR Early Literacy Licenses Needed	
		# STAR Reading Licenses Needed	

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Site Demographics	RL Licenses	# Accelerated Reading Licenses Needed	
		Will you be Hosting Renaissance Place with RL?	
Early Steps to School Success	Program Description and Requirements	I have read and agree to the Program Description and Requirements	Yes
	Early Step to School Success	# of Staff – Budgeted	2
		# of Staff – Targeted	2
		# of Community Meetings Per Month – Budgeted	1
		# of Community Meetings Per Month – Targeted	1
		# of Parent/Child Groups per Month – Budgeted	1
		# of Parent/Child Groups per Month – Targeted	1
		# of Transition to Kindergarten Meetings per Year – Budgeted	1
		# of Transition to Kindergarten Meetings per Year – Targeted	1
	Home Visiting Program	# of 0-3 Year Old Children – Budgeted	20
		# of 0-3 Year Old Children – Targeted	20
		# of Home Visits Per Month – Budgeted	2
		# of Home Visits Per Month – Targeted	2
		# of Months – Budgeted	12
		# of Months – Targeted	12
	Book Bag Exchange Program	# of 3-5 Year Old Children – Budgeted	100
		# of 3-5 Year Old Children – Targeted	100
		# of Months – Budgeted	9
		# of Months – Targeted	9
		# of Times Book Bags Sent Home per Month – Budgeted	4
		# of Times Book Bags Sent Home per Month – Targeted	4
	ESSS Notes	Notes	Young Elementary will be extending its BBE program to 50 children this year at Young Elementary, plus an additional 50 children in Shawnee Elementary. An individual will be hired by the school district to coordinate the retrieval and dispersion of the book bags on a weekly basis. The ESSS ECC at each school will provide oversight for this individual.
	Home Visiting Program Operations	Start Date	07/01/2016
		End Date	06/30/2017



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Early Steps to School Success	Book Bag Exchange Program Operations	Start Date	08/29/2016
		End Date	05/12/2017
		Frequency of Book Bag Exchange	Weekly
		Please explain how the Book Bag Exchange Program will work at your Site	The book bags will be returned Tuesday morning and gathered and sent out Tuesday afternoon for Young Elementary, and bags will returned and distributed on Wednesday for Shawnee. The BBE Coordinator will
Budget Summary	In-School Literacy	SC Funded	
		Site Funded	
		Combined	
	Afterschool Literacy	SC Funded	
		Site Funded	
		Combined	
	Afterschool Healthy Choices	SC Funded	
		Site Funded	
		Combined	
	ESSS	SC Funded	56990
		Site Funded	
		Combined	
	SummerBoost Camp	SC Funded	
		Camp Site Funded	
		Combined	
	Sponsorship	SC Funded	
		Site Funded	
		Combined	
	Literacy Book	SC Funded	
		Site Funded	
		Combined	
	Afterschool Transportation	SC Funded	
		Site Funded	
		Combined	
	Technology Equipment	SC Funded	1200

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Budget Summary	Technology Equipment	Site Funded	
		Combined	
	Total Site	SC Funded	56990
		Site Funded	
		Combined	
Site Classifications	Plan Codes	Plan Sub-Award Analysis Code	999000821
	Signers	Authorized Signer	Donna Hargens



	Save The Children	Period From: 7/1/16
Site	Hazelwood Elementary	Period To: 6/30/17
Fiscal	JCPS board of education	
State	KY	

School Population			
estimated daily attendance	In School	After School	Summer Program
	1	1	1
Cost per child	\$ -	\$ -	\$ -

Partner Budget							
I.	In School	Unit	Unit cost	# Units	Total Budget	STC	Cost Share Source of Funds
	Personnel Cost						
a.	Certified Staff	Annual			-	-	
b.	Classified Staff	Hourly			-	-	
c.	Fringe	Sum			-	-	
	Total In School Personnel Cost				-	-	
	Program Cost						
d.	Books	Sum			-	-	
e.	Materials	Sum			-	-	
f.	Equipment	Sum			-	-	
g.	Training	Sum			-	-	
	Total In School Program Cost				-	-	
	Total In School Cost				-	-	
II.	After School - Literacy	Unit	Unit cost	# Units	Total Budget	STC	Cost Share Source of Funds
	Personnel Cost						
a.	Certified Staff	Annual			-	-	
b.	Classified Staff	Hourly			-	-	
c.	Fringe	Sum			-	-	
	Total After School Personnel Cost				-	-	
	Program Cost						
d.	Books	Sum			-	-	
e.	Transportation	Sum			-	-	
f.	Materials	Sum			-	-	
g.	Equipment	Sum			-	-	
h.	Training	Sum			-	-	
	Total After School Program Cost				-	-	
	Total After School Literacy Cost				-	-	
III.	After School - Healthy Choices	Unit	Unit cost	# Units	Total Budget	STC	Cost Share Source of Funds
	Personnel Cost						
a.	Certified Staff	Annual			-	-	
b.	Classified Staff	Hourly			-	-	
c.	Fringe	Sum			-	-	
	Total After School-Healthy Choices Personnel Cost				-	-	
	Program Cost						
d.	Materials	Sum			-	-	
e.	Equipment	Sum			-	-	
f.	Training	Sum			-	-	
	Total After School-Healthy Choices Program Cost				-	-	
	Total After School-Healthy Choices Cost				-	-	

IV.	<b>Summer Cost</b>	<b>Unit</b>	<b>Unit cost</b>	<b># Units</b>	<b>Total Budget</b>	<b>STC</b>	<b>Cost Share</b>	<b>Cost Share Source of Funds</b>
	<b>Personnel Cost</b>							
a.	Certified Staff	Annual			-	-		
b.	Classified Staff	Hourly			-	-		
c.	Fringe	Sum			-	-		
	<b>Total Summer Personnel Cost</b>				-	-	-	
	<b>Program Cost</b>							
d.	Books	Sum			-	-		
e.	Transportation	Sum			-	-		
f.	Materials	Sum			-	-		
g.	Equipment	Sum			-	-		
	<b>Total Summer Program Cost</b>				-	-	-	
	<b>Total Summer Cost</b>				-	-	-	
V.	<b>ESSS Cost</b>	<b>Unit</b>	<b>Unit cost</b>	<b># Units</b>	<b>Total Budget</b>	<b>STC</b>	<b>Cost Share</b>	<b>Cost Share Source of Funds</b>
	<b>Personnel Cost</b>							
a.	Certified Staff	Annual			-	-		
b.	Classified Staff	Hourly	37,665.00	1	37,665	37,665		
c.	Fringe	Sum	7,996.78	1	7,997	7,997		
	<b>Total ESSS Personnel Cost</b>				45,662	45,662	-	
	<b>Program Cost</b>							
d.	Books	Sum	5,492.00	1	5,492	5,492		
e.	Materials	Sum	1,700.00	1	1,700	1,700		
f.	Equipment	Sum	1,200.00	1	1,200	1,200		
g.	Home Visit Travel	Sum	1,536.00	1	1,536	1,536		
h.	Training	Sum	1,400.00	1	1,400	1,400		
	<b>Total ESSS Program Cost</b>				11,328	11,328	-	
	<b>Total ESSS Cost</b>				56,990	56,990	-	
VI.	<b>Sponsorship Cost</b>	<b>Unit</b>	<b>Unit cost</b>	<b># Units</b>	<b>Total Budget</b>	<b>STC</b>	<b>Cost Share</b>	<b>Cost Share Source of Funds</b>
	<b>Personnel Cost</b>							
a.	Certified Staff	Annual			-	-		
b.	Classified Staff	Hourly			-	-		
c.	Fringe	Sum			-	-		
	<b>Total Sponsorship Personnel Cost</b>				-	-	-	
	<b>Program Cost</b>							
e.	Materials	Sum			-	-		
f.	Equipment	Sum			-	-		
g.	Training	Sum			-	-		
	<b>Total Sponsorship Program Cost</b>				-	-	-	
	<b>Total Sponsorship Cost</b>				-	-	-	
	<b>Total Budget</b>				56,990	56,990	-	



Policies and Procedures Reference No.	CS-01.1
Policy Title	Policy on Child Safeguarding ("Child Safeguarding Policy")
Category	Child Safeguarding
Author	Assistant General Counsel - Compliance
Vice President with Oversight	Vice President and General Counsel
Approver	Senior Management Team
Purpose and Description	These policies and related procedures describe Save the Children's commitment to child safeguarding
Compliance Requirement	<input type="checkbox"/> Statute: <input type="checkbox"/> Regulation: <input checked="" type="checkbox"/> Industry Standards: SCI Child Safeguarding Protocol <input type="checkbox"/> Not Applicable
Audience	<input checked="" type="checkbox"/> SCUS <input checked="" type="checkbox"/> All Head Start <input checked="" type="checkbox"/> SCAN <input checked="" type="checkbox"/> Sub-awardees, partners, vendors, suppliers, consultants and others with whom we provide assets in exchange for services or products (collectively, "Partners") <input checked="" type="checkbox"/> Board of Trustees, Interns, and Volunteers
Effective date	September 28, 2015
Revision date	September 28, 2016
Retirement Rationale	N/A

## DEFINITIONS

- A. Child or Children:** Anyone under 18 years of age.
- B. Child Abuse:** Anything which individuals, institutions or processes do or fail to do which directly or indirectly harms children or damages their prospect of safe and healthy development into adulthood. The main categories of Child Abuse are Physical Abuse, Emotional Abuse, Neglect and Negligent Treatment, Sexual Abuse, and Sexual Exploitation.
  - 1. **Physical Abuse:** The use of physical force that causes actual or likely physical injury or suffering (e.g., hitting, shaking, burning, female genital mutilation, torture).
  - 2. **Emotional abuse:** Any humiliating or degrading treatment such as bad name calling, constant criticism, belittling, persistent shaming, solitary confinement and isolation.
  - 3. **Neglect/Negligent Treatment:** Persistent failure to meet a child's basic physical and/or psychological needs, for example by failing to provide adequate food, clothing and/or shelter; failing to prevent harm; failing to ensure adequate supervision; or failing to ensure access to appropriate medical care or treatment.
  - 4. **Sexual Abuse:** All forms of sexual violence, including incest, early and forced marriage, rape, involvement in pornography, and sexual slavery. Child sexual abuse also may include indecent touching or exposure, using sexually explicit language towards a child and showing children pornographic material.
  - 5. **Sexual Exploitation:** Any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. This includes exchange of assistance due to children benefiting from Save the Children programming. The sexual exploitation of a child who is under the age of consent is child sexual abuse and a criminal offense.
- C. Representatives of Save the Children:** Employees, volunteers, interns, consultants, Board members, Partners and others who work with children on Save the Children's behalf, visit Save the Children's programs, or who have access to sensitive information about children in Save the Children's programs.
- D. Child Safeguarding:** The set of policies, procedures and practices that we employ to ensure that Save the Children is a child safe organization.



## **POLICIES**

### **1. Policy on Commitment to Children**

Save the Children is committed to conducting its programs and operations in a manner that is safe for the children it serves and helping protect the children with whom Save the Children is in contact. All Save the Children Representatives are explicitly prohibited from engaging in any activity that may result in any kind of Child Abuse.

In addition, it is Save the Children's policy to create and proactively maintain an environment that aims to prevent and deter any actions and omissions, whether deliberate or inadvertent, that place children at the risk of any kind of Child Abuse.

All Save the Children Representatives are expected to conduct themselves in a manner consistent with this commitment and obligation. Any violations of this policy will be treated as a serious issue and will result in disciplinary action being taken, including termination and any other available legal remedy.

In furtherance of this Policy, Save the Children has adopted Procedures, described below, to promote:

- a. **Prevention of Child Abuse:** Striving, through awareness, good practice and training, to minimize the risks to children and take positive steps to help protect children who are the subject of any concerns.
- b. **Reporting of Child Abuse:** Ensuring that all Representatives know the steps to take and whom to contact where concerns arise regarding the safeguarding of children.
- c. **Responding to Child Abuse:** Engaging in action that supports and protects children when concerns arise regarding their well-being; supporting those who raise such concerns; investigating, or cooperating with any subsequent investigation; and taking appropriate corrective action to prevent the recurrence of such activity.
- d. **Training to Promote Awareness of Child Safeguarding Obligations:** Ensuring that all Representatives are notified of and made aware that they are expected to comply with the policy.

### **2. Policy to Comply with Applicable Laws and Regulations**

It is Save the Children's Policy to ensure compliance with host country and local child welfare and protection legislation, or international standards, whichever affords greater protection, and with U.S. law, where applicable.

### **3. Policy Regarding Sexual Activity with Children**

It is Save the Children's Policy that any individual under the age of 18 is a child and is "underage", regardless of the legal age of consent of the country in which s/he lives and/or in which the offense occurs. An

underage child cannot legally give informed consent to sexual activity. Save the Children considers that sexual activity with a child with or without their consent will be treated as a serious issue and will result in disciplinary action being taken, including termination, and the pursuit of any other available legal remedy.

Consensual sexual activity with a child over the legal age of consent of the country in which s/he lives and/or in which the offense occurs, but below 18 years will be treated as a serious issue and may result in disciplinary action being taken, including termination, and the pursuit of any other available legal remedy.

#### **4. Policy on Accountability of SCUS Management**

SCUS Management is committed to taking all appropriate corrective actions, including disciplinary, legal or other actions in response to any violation of the Child Safeguarding Policy, with respect to relevant individuals (including those who committed a child safeguarding violation and/or anyone who knew of such child safeguarding violation but failed to act), and taking steps following any findings of a violation of the Child Safeguarding Policy to review the applicable policies, procedures, and protocols to identify and address any gaps or weaknesses.

#### **5. Policy on Confidentiality in Child Safeguarding Matters**

SCUS has a duty to manage sensitive information in a manner that is respectful, professional and that complies with the applicable law. Staff must keep all information about any suspected or reported incidents strictly confidential, and must divulge only that information to the Child Safeguarding Focal Point (who is identified on SaveNet), Human Resources team and any other senior staff directly involved in the investigation (and in the case of incidents occurring overseas, to the relevant Country Office director), except as required by law.



## PROCEDURES

1	<p><b><u>Prevention of Child Safeguarding Incidents</u></b></p> <p>A. <u>Mitigating Child Safeguarding Risks in Project Planning And Implementation</u></p> <ol style="list-style-type: none"> <li>1. Where possible and practical, the 'two-adult' rule, wherein two or more adults supervise all activities where children are involved and are present at all times, should be followed.</li> <li>2. Representatives must not stay alone overnight with one or more children benefiting from Save the Children programs who are not part of their immediate or extended family, whether in their house, project premises or elsewhere.</li> <li>3. Representatives should not place themselves in compromising or vulnerable positions and should take care not to discriminate against, show differential treatment towards, or favor particular children to the exclusion of others.</li> </ol> <p>B. <u>Background Checks</u></p> <p>Save the Children shall conduct criminal background checks on all Save the Children Representatives, and anyone who visits Save the Children's programs (e.g., journalists, donors, celebrities) and as it deems appropriate and as permitted by law.</p>
2	<p><b><u>Reporting of Child Safeguarding Incidents</u></b></p> <p>All Representatives should know the steps to take and whom to contact when concerns arise regarding the safeguarding of children. Failure to report a reasonable suspicion of misconduct in accordance with this Policy will be treated as a serious issue and may result in disciplinary action.</p> <p><b><u>If a child is in danger or in harm's way, call 911 or the local authorities immediately.</u></b></p> <p><b><u>Reporting Specifics</u></b></p> <p>A. <u>Mandatory Reporters</u></p> <p>"Mandatory Reporters" (as defined below) must report concerns to the appropriate local authority (each state has its own reporting hotline). "Mandatory Reporters" are those individuals who are mandated by law to report child maltreatment (New Jersey and Wyoming do not have specific mandated reporters; rather they require all people to report). Individuals designated as Mandatory Reporters typically have frequent contact with children. Such individuals may include:</p> <ul style="list-style-type: none"> <li>• Social Workers</li> <li>• Teachers, principals, and other school personnel</li> <li>• Physicians, nurses and other health care workers</li> <li>• Child care providers</li> <li>• Directors, employees, and volunteers at entities that provide organized activities for children, such as camps, youth centers and recreation centers</li> </ul>

	<p><b>B. <u>U.S. Programs employees and other Representatives who have direct contact with children and all Head Start employees:</u></b></p> <p>Incident reports must be submitted by email to <a href="mailto:incidentreporting@savechildren.org">incidentreporting@savechildren.org</a> within 24 hours. The report always should include:</p> <ul style="list-style-type: none"> <li>• Date, time and location of the incident</li> <li>• Type of incident (abuse, violence, inappropriate behavior, etc.) and nature of what happened</li> <li>• The relevant actions that are happening right now</li> </ul> <p>Record dates reporting to Licensing, OHS regional offices and/or state and local authorities as applicable.</p> <p><b>C. <u>All other Representatives</u></b></p> <p>Representatives covered by this policy must report any suspicion of misconduct covered by this policy as soon as practicable to their direct supervisor (if an employee). If you feel you cannot raise the concern with your direct supervisor for any reason, or if you are a non-employee representative, you should contact the child safeguarding champion for your office or location. Alternatively, you can report the matter confidentially to the Child Safeguarding Focal Point at <a href="mailto:hotline@savechildren.org">hotline@savechildren.org</a>, file an anonymous report on-line at <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> or anonymously via phone <b>844-287-1892</b> (in the US). If you are outside of the US and would like to report by phone, go to <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> for a full listing of contact numbers by country.</p> <p><b>D. <u>Manager Responsibilities</u></b></p> <p>Any manager who receives a report of any allegation of a violation of this Child Safeguarding Policy must forward the report as soon as practicable to the Child Safeguarding Focal Point at <a href="mailto:hotline@savechildren.org">hotline@savechildren.org</a> or file a report on-line at <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a>.</p> <p><b>E. <u>Staff Overseas</u></b></p> <p>When travelling or working overseas in SCl offices, you are required to report any allegations of Child Abuse to SCl in accordance with SCl's child safeguarding reporting procedures. However, you also must report any such incidents or suspicions to SCUS pursuant to these Procedures.</p> <p><b>F. <u>Reporting to Senior Management Team</u></b></p> <p>On an annual basis, the General Counsel shall report all pending cases to the Senior Management Team and the Board of Trustees. The General Counsel or the Child Safeguarding Focal Point shall report immediately all Exceptional Cases, as defined below, to the Senior Management Team and the Child Safeguarding Champion of the Board of Directors.</p>
3	<p><b><u>Responding to Child Safeguarding Incidents</u></b></p> <p><b>A. <u>Child Safeguarding Champions</u></b></p>



	<p>SCUS shall establish "Child Safeguarding Champions" who are trained on the specifics of the processes around child safeguarding and who will coordinate with the Child Safeguarding Focal Point, and others as appropriate, when conducting any child safeguarding investigation. The Child Safeguarding Champions can be found on SaveNet.</p> <p><b>B. <u>Investigating and Follow-up of Child Safeguarding Allegations</u></b></p> <p>SCUS takes every allegation of a violation of our Child Safeguarding Policy seriously. The Child Safeguarding Focal Point is responsible to ensure all credible allegations are logged and tracked in the SCUS central database.</p> <p>The Child Safeguarding Focal Point is tasked with following up with the other involved SCUS personnel to ensure all allegations are properly investigated and all appropriate corrective action and remedial measures are taken.</p> <p>Representatives covered by this policy must cooperate fully with any investigation or inquiry by SCUS and preserve all records relating to any alleged violation of this Child Safeguarding Policy. Although we cannot guarantee confidentiality, we will keep reported concerns confidential to the extent possible.</p> <ol style="list-style-type: none"> <li>1. <b>Initial Assessment:</b> Upon receipt of a report, an initial assessment will be conducted by one of the designated Child Safeguarding Champions. A full account of the matter and any further action will be recorded on a Child Safeguarding Report Form. The Human Resources team and Child Safeguarding Focal Point will consider the circumstances of the report, seek professional advice and determine next steps.</li> <li>2. <b>Reporting to Applicable Authorities:</b> <b>In the US</b>, referrals can be made to children's services or the police as soon as possible, but must be within one working day. Be advised that nearly all U.S. states impose penalties in the form of <b>fines or imprisonment</b> for a <b>mandated reporter</b> who fails to timely report suspected child abuse, neglect or maltreatment of a child.</li> </ol> <p><b>If the incident happens abroad</b>, then it will be the responsibility of the relevant authorities there to organize an investigation. Irrespective of the local outcome, Save the Children staff must report (verbally and in writing) to a senior staff member at the organization/project where they are working.</p> <p><b>C. <u>Investigation in Exceptional Cases:</u></b> In cases where the allegations relate to a member of the Senior Management Team, Extended Senior Management Team, is likely to result in serious reputational injury, or other exceptional cases (collectively, "Exceptional Cases"), the Child Safeguarding Focal Point shall consult with the General Counsel and others within the Senior Management Team, as appropriate, on how the investigation should proceed, including to determine whether SCUS should retain an external party to investigate the allegations.</p>
4	<p><b><u>Training to Promote Awareness of Child Safeguarding Obligations</u></b></p> <p>All SCUS staff must undertake an initial training on the Child Safeguarding Policy within the first six months after induction to SCUS, and/or within the first six months following the promulgation of this policy, and must take refresher trainings every two years.</p>

	<p>Head Start employees are also required to take any state required Mandatory Reporter (as defined herein) training.</p> <p>Managers at all levels are responsible for ensuring those reporting to them are made aware of and understand this Policy and are given trainings as described above.</p> <p>Other trainings will be required dependent on job specific responsibilities.</p>
5	<p><b><u>Agreements with Partners</u></b></p> <p>All agreements with Partners (as defined above) must include this Policy as an addendum and must include a provision in which the Partner agrees to comply with this Policy (subject to the Exception Approval Procedure contained herein).</p>
6	<p><b><u>Communications Materials (interviews, photography and filming)</u></b></p> <p>Any communications materials that include images of or information about children are subject to the Communications Guidelines attached as <a href="#">Annex I</a> and included as part of this Child Safeguarding Policy</p>
7	<p><b><u>Guests on Project Visits</u></b></p> <p>All Representatives of Save the Children on project visits involving children are subject to the Program Visit Child Protection Guidelines attached as <a href="#">Annex II</a> and included as part of this Child Safeguarding Policy. Once at the project, there should be a verbal presentation made to the guests regarding appropriate conduct.</p>

## TRAINING REQUIREMENTS

Training Course	Who?	Frequency	Training moment
Child Safeguarding Policy	All	Upon induction, and then every two years	First six months after induction or within six months following the promulgation of policy
Child Safeguarding On-line Course	All	Within six months following promulgation of this policy, and then every two years	First six months after induction or within six months following the promulgation of policy



## MONITORING MECHANISMS

What are you monitoring?	Data source	Action Owner	Escalation levels	Frequency
Policies and procedures are being communicated to relevant audience	Attestation Exception Aging Report from the Policies and Procedures Management System	Policies and Procedures Management System Administrator	Vice President to whom the relevant persons reports.	Annual
Relevant Trainings	Human Resources training tracker	Human Resources	Vice President who has oversight of the policies and procedures manuals.	Annual

## EXCEPTION APPROVAL PROCEDURE

Procedure/ Action	Action Owner
Exceptions to this policy requires written approval by the Chief Operating Officer	Person seeking exception to policy
File and retain exception approval	Policies and Procedures Management System Administrator

## VERSION CONTROL

Version number	Version Date	Revisions made
CS-01.1	September 28, 2015	Revision of existing Child Safety Policy

## **ANNEX I**

### **COMMUNICATIONS GUIDELINES**

#### **Guidelines for ethical reporting about children**

We have a responsibility to the children we represent to tell their stories in a responsible and ethical manner. The child's best interest should always be our primary consideration. We work with some of the world's most vulnerable children and communities. We want people to be motivated to support Save the Children's work. To do this, we need to show the injustice children face in a way that creates an emotional response and compels people to act to make the world a better place for children. However, in doing so we must respect the dignity and humanity of the children we serve and we must not exploit their situation in order to raise funds or attract attention for our cause.

Children and young people have all the rights of adults. In addition, they have the right to be protected from harm. Reporting on children and young people carries this added dimension and restriction, especially in the current era when it is nearly impossible to limit a story's reach. This document is meant to support the best intentions of ethical reporting – serving the public's interest for truth without compromising the rights of children.

In some instances, the act of reporting on children places them or other children at risk of exploitation, retribution or stigmatization. When in doubt, we must err on the side of caution and ensure the right of the child to be protected from harm.

#### **Guidelines for interviewing children**

- 1) Do no harm to any child. Avoid questions, attitudes or comments that are judgmental or insensitive to cultural values, that place a child in danger or expose a child to humiliation, or that reactivate a child's pain and grief from traumatic events.
- 2) Ensure that the child and guardian know they are talking with a reporter. Explain the purpose of the interview and its intended use.
- 3) Assess any potential risks to the child or children, including:
  - a) Reprisals,
  - b) Stigmatization, rejection or attacks by family or communities,
  - c) Legal prosecution,
  - d) Misguided or malicious attempts by outsiders to "rescue" the child from a difficult situation.
- 4) No staging: Do not ask children to tell a story or take an action that is not part of their own history. Do not ask children to promote products contributed by corporate supporters.
- 5) Obtain permission from the child and her or his guardian for all interviews, videotaping and, when possible, documentary photographs. When possible and appropriate, this permission should be in writing. Permission must be obtained in circumstances that ensure the child and guardian are not coerced in any way and understand they are part of a story that might be disseminated locally and



globally. This is usually ensured only if the permission is obtained in the child's language and if the decision is made in consultation with an adult the child trusts.

- 6) Pay attention to where and how the child is interviewed. Limit the number of interviewers and photographers. Try to make certain that children are comfortable and able to tell their story without outside pressure, including pressure from the interviewer. In film, video and radio interviews, consider what the choice of visual or audio background might imply about the child and her or his life and story. Ensure that the child will not be endangered or adversely affected by showing their home, community or general whereabouts.
- 7) If a child discloses bad practice during an interview (such as abuse, criminal activity or a violation of Save the Children policy), the person carrying out the interview should know the local procedures for reporting this. Staff should also be familiar with Save the Children's Child Safeguarding Policy.
- 8) No payments or any other form of compensation are to be provided to children or parents in exchange for their interview, photo or consent.

#### **Guidelines for reporting on children**

- 1) Do not further stigmatize any child. Avoid categorizations or descriptions that expose children to negative reprisals – including additional physical or psychological harm, or to lifelong abuse, discrimination or rejection by their local communities.
- 2) Always provide an accurate context for the child's story or image.
- 3) Do not give any information that could lead to a child being identified or traced. For example, if the child is from a small village, it might be easy for the child to be identified by another villager. Provide the region or district where the child lives, rather than naming the village. Do not name the school the child attends. Use first names only.
- 4) **Always change the name and obscure the visual identity** of any child who is identified as:
  - a) A victim of sexual abuse or exploitation,
  - b) A perpetrator of physical or sexual abuse,
  - c) Charged or convicted of a crime,
  - d) A current or former child combatant,
  - e) HIV positive, living with AIDS or has died from AIDS, unless the child, a parent or a guardian gives fully informed consent,
  - f) A beneficiary of Save the Children's domestic programs or a resident of a U.S. community,
  - g) Or any child who does not wish to be named and identifiable, or whose parent/guardian does not wish the child to be named and identifiable.
- 5) **Always change the name and consider obscuring the visual identity** of a child identified as:
  - a) An asylum seeker, a refugee or an internally displaced person,
  - b) Orphaned, abandoned or separated from parents/guardians. In the case of orphans, please be sure to mention when they are in the care of relatives or guardians.

- 6) **Do not change a child's identity when it is important to the child and the story.** In certain cases, using a child's identity – name and/or recognizable image – is in the child's best interests. However, when a child's identity is used, he/she must still be protected against harm and supported through any stigmatization or reprisals. Some examples of these special cases are:
  - a) When a child initiates contact with the reporter, wanting to exercise their right to freedom of expression and to have their opinion heard.
  - b) When a child is part of a sustained program of activism or social mobilization and wants to be so identified.
  - c) When a child is engaged in a psychosocial program and is claiming their name and identity as a part of their healthy development.
  - d) When a child has died and the parent/guardian wants the child's name to be used in order to raise awareness of a problem or change policy.
- 7) When changing a child's name to protect their identity, ask them at the time of the interview what name they would prefer to be known as. If the child does not state a preference for a certain name, work with someone from the community to select a name that is culturally appropriate given the child's gender, ethnicity, religious background, etc. Whenever possible, choose a name that is short and easily pronounced/understood by an audience that may be unfamiliar with the child's culture.
- 8) Confirm the accuracy of what the child has to say, either with other children or an adult, preferably with both.
- 9) When in doubt about whether a child is at risk, report on the general situation for children rather than on an individual child, no matter how newsworthy the story.
- 10) Do not invent a tragic future the child may face "if we don't help". If the child's image or story are to be used in this way, the child and parent or guardian must see the creative treatment and give additional consent.

## **Guidelines for use of videos and photos including children**

### **Quality Indicator Definitions**

- **Clarity** – Please take clear photos and videos, test sound quality and write conversationally while remaining grammatically correct.
- **Composition** – Videos, stories and images should convey a story with a clear beginning, middle and end or imagery that conveys emotion or action.
- **Context** – Include setting or background for the story or reference that references Save the Children's work. Describe the problem we are trying to solve or the solution to a problem. For example, feeding a hungry child or distributing books at a library.
- **Compelling** – Take pictures and videos that would make you want to stop what you are doing and take action.

### **Compliance Indicators**

#### **Protection:**



- Coverage (No private parts, ever. Very strict discretion around shirtless children to ensure asset does not serve as fodder for pedophiles.)
- Dignity (Is the subject portrayed as a helpless victim, or as a brave survivor who is contributing to his/her own success?)
- Care (Children in grave health or dangerous situations are not to be depicted without care – e.g. a baby alone and crying; under attack, severe acute malnutrition, fresh wounds or extreme physical trauma)
- Released (Releases are required, some verbal in case of emergencies. Releases include informing the subject of the intended use of the photo and protecting the identity of high-risk children such as those in conflict settings, exploited workers, former slaves and those affected by deadly infectious diseases including HIV/ AIDS and Ebola.)

#### Major content themes 2016

- Girls. Girls issues are a cross-cutting theme in all of our programming areas. We would be looking not just for content that features girls, for example content that supports girls thematically such as psychosocial support for survivors of sexual violence and exploitation, education initiatives to help girls stay in school, advocacy initiatives to end gender discrimination and increase legal marriage age limits and adolescent livelihoods programs in traditionally female fields.
- Results of our Work. These “feel good” stories illustrate the scale, sustainability and results of the quantity, quality and anecdotal work by staff, beneficiaries and community members as made possible through the generosity of donors. Examples include success stories and positive case studies. Results should align with core agency work and not one-off “above and beyond” stories that are outside of our mission.
- On the Ground. These “action adventure” stories show proof of delivery in a way that highlights the expertise of our staff and our “whatever it takes” approach to reaching the most vulnerable children.
- Before and After. These “underdog” stories have assets that highlight both needs and solutions, weaving in campaign anecdotes, results and how the results were accomplished over a period of time that has been tracked visually.
- High-Need. These “tragedy” stories detail the terrible obstacles children must overcome and highlight how Save the Children is uniquely positioned to help the child overcome them with the help of donors. Stories should be multi-channel and have strong calls to action.
- Donor/Sponsor POV. These “hero” stories highlight the people behind the success and results stories. Designed to appeal to moms, Millennials, policy-makers and others, these stories can be told on- and off-line to thank those who have gone above and to inspire others to do the same.
- Most deprived. This is differentiated from high-need by the strategic implications including a shift from rural prioritization to unmet needs of the most vulnerable children wherever they are. Most deprived may also speak to nuances around inequity and other aspects of the global campaign. Something that is characterized as most deprived may not actually be a high need photo, but could reflect other aspects of deprivation including urban children, girls facing gender disparity and those affected by disasters and emergencies.
- Crisis. No one knows when the next earthquake, flood or tsunami will strike. But we do know children are severely affected by natural disasters. They also suffer greatly during conflict, drought and disease outbreaks. This theme highlights our humanitarian work.

## ANNEX II

### PROGRAM VISIT CHILD PROTECTION GUIDELINES

#### **Standards & Procedures for Child Safeguarding and Site Visits:**

- 1.1 Uphold the agency Child Safeguarding Policy standards through signed acknowledgement, training, and application by all Save the Children visitors. Visitors are defined as staff, interns, consultants, volunteers, vendors, policymakers, talent, corporate or foundation partners, board members, etc.

##### **Procedure:**

##### **Before Site Visit:**

- Prior to any contact with children, Save the Children's to review expectations for site visits with visitor(s), including an acknowledgement of the Child Safeguarding Policy.
- Provide a copy of Save the Children's child safeguarding policy to Save the Children visitor(s) prior to each visit. Save the Children visitor(s) must review and return a signed copy of the child safeguarding policy to the organizer of the site visit.
- Retain signed copies of Acknowledgement of Child Safeguarding policies per standard SC policies and practice.
- If a representative participates in multiple visits annually, he/she only needs to sign and return the policy once a year.
- In some cases, each Country Office will have additional Child Safeguarding or Ethics Conduct forms for visitor(s) to review and sign.

- 1.2 Adhere to the two-adult rule, as outlined in the SCI Child Safeguarding Policy.

##### **Procedure:**

##### **During Site Visit:**

- Children must never be left alone with visitor(s). Save the Children staff must adhere to the two-adult rule: two or more adults are required to supervise all activities where children are involved and are present at all times.

- 1.3 Protect the privacy and sensitive personal information of children and families.

##### **Procedure:**

##### **Before Site Visit:**

- Country office staff must explain the "Original Materials, Interviews, Film, Photos, Tape and Video Consent and Release" form to all participants of the upcoming site visit, including all caretakers, guardians, parents of children at the site. If an adult or guardian/caretaker of a child has not signed the form prior to the visit, they cannot be included in photographs, video, quotes or other materials intended for publication, marketing or other use are gathered during the visit. Copies of the release forms should be filed at the Country Office as per standard SC policies and practices.



#### During Site Visit:

- Do not share children's full names or locations on social media. Turn off location devices that automatically populate the location on social media. Please follow Save the Children's safeguarding guidelines for social media and communications.

#### After Site Visit:

- Do not share children's full names or locations on social media. Please follow SC's child safeguarding guidelines for social media and communications.

I.4 Ensure all site visits are authorized, and visit procedures are followed.

#### Procedure:

##### Before Site Visit:

- All site visitors must go a thorough background check, as permissible in their market, on the sponsor and all other accompanying visitors in advance of the visit. The organizer of the visit must send the Save the Children representative a background authorization form a month in advance of the visit. The Save the Children visitor must complete, sign and return the form to the visit organizer. The Authorization to Obtain Background Reports form must be signed by hand in pen (electronic signatures are not acceptable). Save the Children does not require an original copy of the form: faxes, scans, and photocopies are fine.
- The visit organizer must submit the form and budget code to their legal department. Background checks can take several weeks, and cost from \$20-\$500 depending on what courts the system needs to run through. The background check is good for a year's time. The background check must be completed and cleared before the visit.
- The Country Office must secure parental/guardian permission for the site visit via a signed consent form. (link to the form used in child sponsorship)

##### During Site Visit:

- If a visitor arrives at a CO unexpectedly requesting a site visit, the CO should explain that a visit cannot take place because the proper forms and background checks have not been completed and notify the appropriate SC member of the request. Under no circumstances should a Save the Children guest visit a child, program or community unannounced.
- Visitors must not stay overnight with one or more children benefiting from Save the Children programs who are not part of their immediate or extended family, whether in their house, project premises or elsewhere.
- Sponsors/children may not visit children's/families' or sponsors' homes, respectively. Sponsor visits should take place in a communal, public location (e.g., not at the child's home).
- Sponsor site visits may not exceed two days.
- In the case of a violation pertaining to sponsor visits, the sponsorship relationship will be terminated if deemed necessary (after reviewed for severity of breach).

Policies and Procedures Reference No.	COMPL-01.2
Policy Title	Policy on Zero Tolerance for Fraud, Corruption, Bribery or Other Forms of Dishonesty Relating to Agency Operations and Related Policies and Procedures ("Zero Tolerance Policy")
Category	Fraud and Compliance Issues
Author	Risk and Compliance Officer
Vice President with Oversight	Vice President and General Counsel
Approver	Senior Management Team
Purpose and Description	These policies and related procedures describe Save the Children's "Zero Tolerance" approach to fraud, corruption, bribery or other forms of dishonesty relating to Agency operations, and reinforces our commitment to the highest standards of governance, fiduciary duty, responsibility and ethical behavior.
Compliance Requirement	<input type="checkbox"/> Statute: <input checked="" type="checkbox"/> Regulation: 48 C.F.R. Section 9.4; 2 C.F.R. 200.113 <input type="checkbox"/> Industry Standards: <input type="checkbox"/> Not Applicable
Audience	<input checked="" type="checkbox"/> SCUS <input checked="" type="checkbox"/> All Head Start <input checked="" type="checkbox"/> SCAN <input checked="" type="checkbox"/> Sub-awardees, partners, vendors, suppliers, consultants and others with whom we provide assets in exchange for services or products (collectively, "Partners")
Effective date	June 29, 2015
Revision date	June 29, 2018
Retirement Rationale	N/A



## **POLICIES**

### **1. Zero Tolerance Policy**

We have a **zero tolerance** policy with respect to fraud, corruption, bribery and other forms of dishonesty relating to Agency operations committed or attempted by all individuals and organizations covered by this policy. Every instance of fraud, corruption, bribery or other forms of dishonesty relating to Agency operations can undermine the viability of our organization, compromise the delivery of our services, breach the trust we have among our stakeholders, and diminish our impact for children. SCUS treats an attempted act of this kind of misconduct as seriously as an accomplished act.

Save the Children will therefore take all practicable steps to:

- Maintain this policy and an appropriate management framework that supports compliance with relevant regulations, laws, and our zero tolerance approach.
- Raise awareness of the policy and provide appropriate training for staff.
- Investigate allegations and incidents of fraud, corruption, bribery or other dishonesty relating to Agency operations and, where misconduct is deemed to have occurred, to take all appropriate actions, including legal, administrative or disciplinary proceedings (including termination), if appropriate, against those individuals or organizations covered by this policy.
- Comply with regulatory and other legal and donor requirements, including the reporting of any misconduct, and all steps as appropriate to recover financial losses.
- Review systems and procedures to prevent similar misconduct, and to ensure our commitment to integrity and accountability.

All employees and agents of SCUS who suspect any type of behavior that is inconsistent with this policy is occurring, has occurred, or may occur must report it in accordance with the "Reporting Fraud, Corruption, Bribery or Other Dishonesty Relating to Agency Operations" Procedure herein.

### **2. Policy on Accountability of SCUS Management**

SCUS Management is committed to taking all appropriate corrective actions, including disciplinary, legal or other actions, in light of any findings of fraud, with respect to relevant individuals (including those who committed fraud and/or anyone who knew of such fraud but failed to act), and take steps following any incidents of fraud to review controls and protocols to identify and address any gaps or weaknesses.

### **3. Policy on Whistleblower Protections**

SCUS will not take any action against a person making an allegation of fraud, corruption, bribery, or dishonesty in good faith. A report of misconduct or concern may be made without fear of harassment, demotion, dismissal, disciplinary action, remedial action, suspension, threats or any method of retaliation by any party.

Any knowingly false or malicious allegations may, however, result in disciplinary action against the employee making the false allegation.

## PROCEDURES

1.	<p><b>Prevention and Awareness of Fraud, Corruption, Bribery or Other Dishonesty Relating to Agency Operations</b></p> <p>All SCUS, SCAN and Head Start (collectively, "SCUS") staff, interns, volunteers, and representatives covered by this policy must:</p> <ul style="list-style-type: none"> <li>a) Read and comply with this Policy. Failure to comply with the Zero Tolerance Policy will be treated as a serious matter and may result in disciplinary or legal measures being taken. If you are aware of any allegations of misconduct, you must report it as described below in the Procedure "<b>Reporting of Fraud, Corruption, Bribery or Other Dishonesty Relating to Agency Operations.</b>"</li> <li>b) Behave in an honest manner while carrying out SCUS's work and avoid even the appearance of impropriety.</li> <li>c) If you have reason to believe something is inaccurate in a document you are signing or distributing, you have an obligation to find out whether it is inaccurate and correct it, or report the concern to your supervisor.</li> <li>d) Ensure that you follow all appropriate SCUS policies and procedures to minimize the chance of dishonest behavior occurring. SCUS policies and procedures are created specifically to minimize fraud or unethical or illegal conduct.</li> <li>e) Familiarize yourself and comply with the "Conflict of Interest" provisions in the Code of Ethics and Business Conduct. Any supervisor made aware of a reported conflict of interest should consult with the Risk and Compliance Officer to ensure any conflicts are adequately mitigated. Evidence of the disclosure of the conflict of interest and the mitigation measures must be kept on file. For more information on how to identify and handle real or apparent conflicts of interest, refer to the Code of Ethics and Business Conduct.</li> </ul> <p>Managers at all levels are responsible for ensuring those reporting to them are made aware of and understand this Policy and are given trainings as described above.</p>
2.	<p><b>Reporting of Fraud, Corruption, Bribery or Other Dishonesty Relating to Agency Operations</b></p> <p>A. <u>Reporting of Fraud, Corruption, Bribery or Other Dishonesty Relating to Agency Operations within SCUS</u></p> <p>SCUS staff, interns, volunteers, and representatives covered by this policy must report to their direct supervisor as soon as practicable any suspicion of misconduct covered by this policy relating to or having a nexus with SCUS programs or operations. If you feel you cannot raise the concern with your direct supervisor for any reason, you should contact the senior manager of your team or department. Alternatively, if you feel that you need to raise the issue outside your immediate team, you can report the matter confidentially to the Risk and Compliance Officer at <a href="mailto:hotline@savechildren.org">hotline@savechildren.org</a>, file an anonymous report on-line at <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> or anonymously via phone <b>844-287-1892</b> (in the US). If you are outside of the US and would like to</p>



	<p>report by phone, go to <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> for a full listing of contact numbers by country.</p> <p>Failure to report a reasonable suspicion of misconduct in accordance with this Policy will be treated as a serious issue and may result in disciplinary action being taken.</p> <p>Any manager who receives a report of any allegation of fraud, corruption, bribery and other forms of dishonesty relating to Agency operations must forward the report as soon as practicable to the Risk and Compliance Officer at <a href="mailto:hotline@savechildren.org">hotline@savechildren.org</a> or file a report on-line at <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a>.</p> <p>The Risk and Compliance Officer, and in his/her absence, the General Counsel, will report matters to regulators, auditors, the board/board Audit Committee, and law enforcement on behalf of Save the Children, as appropriate.</p> <p><b>Please note that when travelling or working overseas in SCI offices, you may also be required to report to SCI, and you should consult with Risk and Compliance Officer or General Counsel to confirm. However, you must also report any incidents or suspicions to SCUS as soon as practicable.</b></p> <p>B. <u>Reporting Fraud, Corruption, Bribery, or Other Dishonesty Relating to Agency Operations to Management and Oversight Entities</u></p> <p>The Risk and Compliance officer is responsible to immediately report credible allegations of fraud, corruption, bribery or other dishonesty relating to Agency operations to the relevant donor consistent with the applicable award conditions or regulatory or statutory requirements. The Risk and Compliance Officer also is responsible to report credible allegations of such misconduct to the appropriate entities within SCUS as soon as practicable.</p> <p>On a semi-annual basis, the Risk and Compliance Officer shall report all pending cases to the Senior Management Team and the Audit Committee of the Board of Trustees. The Risk and Compliance Officer shall immediately report all Exceptional Cases, as defined below, to the Senior Management Team and the Audit Committee of the Board of Directors.</p>
3.	<p><b>Investigating and Follow-up of Fraud, Corruption, Bribery, or Other Dishonesty Relating to Agency Operations</b></p> <p>SCUS takes every allegation of fraud, corruption, bribery or other dishonesty relating to Agency operations seriously. The Risk and Compliance Officer (or in his/her absence, the General Counsel) is responsible to ensure all credible allegations relating to SCUS activities are logged and tracked in the SCUS central database.</p> <p>The Risk and Compliance Officer is tasked with following up with the other involved SCUS personnel to ensure all allegations are properly investigated and all appropriate corrective action and remedial measures are taken, including reimbursement to donors.</p> <p>Prior to the commencement of any investigation, the Risk and Compliance Officer should be consulted to discuss the nature of the allegation and the planned investigation. Exceptions to this requirement are permissible only under exigent circumstances, and require following the "Exceptions Approval Procedure" provided below.</p>

	<p>SCUS shall establish "Compliance Champions" who are trained on the specifics of the processes around fraud awareness, detection and investigation and will coordinate with the Risk and Compliance Officer, and others as appropriate, when conducting any fraud investigation.</p> <p>SCUS staff, interns, volunteers and representatives covered by this policy must:</p> <ul style="list-style-type: none"> <li>a) Cooperate fully with any investigation or inquiry by SCUS.</li> <li>b) Preserve all records relating to any alleged fraud.</li> </ul> <p><b>Investigation in "Exceptional Cases":</b> In cases where the allegations relate to a member of the Extended Senior Management Team, where the potential loss exceeds \$50,000, or other exceptional cases (collectively, "Exceptional Cases"), the Risk and Compliance Officer shall consult with the General Counsel and others within the Senior Management Team, as appropriate, on how the investigation should proceed, including to determine whether SCUS should retain an external party to investigate the allegations.</p>
4.	<p><b>Training</b></p> <p>All SCUS staff must undertake an initial training on the Zero Tolerance Policy and the SCUS Code of Conduct and Business Ethics within the first six months after induction to SCUS, and/or within the first three months following the promulgation of this policy, and must take refresher trainings every two years.</p> <p>In addition, all SCUS staff must take fraud training and awareness classes, as requested, and familiarize themselves with related SCUS (and, where applicable, SCI) policies. The Risk and Compliance Officer is responsible to ensure these trainings are provided.</p>
5.	<p><b>Rules and Procedures Relating to SCUS Partners</b></p> <p>SCUS's Partners (defined as sub-awardees (excluding Save the Children International), vendors, suppliers, consultants and others with whom we exchange anything of value for services or products) must:</p> <ul style="list-style-type: none"> <li>a) Not commit fraud, corruption, bribery or other otherwise behave in a dishonest manner while carrying out work on behalf of or in connection with SCUS.</li> <li>b) Act in accordance with the spirit of this Policy.</li> <li>c) Immediately report any suspicion of fraud, corruption, or dishonesty in whatever form relating to its work with SCUS to their SCUS key contact. Alternatively, reports may be made directly to SCUS's Risk and Compliance Officer at <a href="mailto:hotline@savechildren.org">hotline@savechildren.org</a>, or anonymously at <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> or anonymously via phone <b>844-287-1892</b> (in the US). If you are outside of the US and would like to report by phone, go to <a href="http://SavetheChildren.EthicsPoint.com">SavetheChildren.EthicsPoint.com</a> for a full listing of contact numbers by country.</li> <li>d) Cooperate fully with any investigation or inquiry by SCUS.</li> <li>e) Preserve records required for an investigation.</li> </ul>



	<p>f) Implement measures sufficient to ensure that their employees and sub-contractors comply with this Policy.</p> <p>g) Agree to fully and timely reimburse SCUS for all liabilities, losses, costs, penalties, charges or other amounts incurred by SCUS due to a violation or breach by a Partner of this Policy.</p> <p>All agreements with Partners (as defined above) must include this Policy as an addendum and must include a provision in which the Partner agrees to comply with this Policy (subject to the Exception Approval Procedure contained herein).</p>
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## TRAINING REQUIREMENTS

Training Course	Who?	Frequency	Training moment
Zero Tolerance Policy and the SCUS Code of Ethics and Business Conduct	All	Upon induction, and then every two years	First six months after induction or within three months following the promulgation of policy
Fraud Awareness and Prevention	Extended Senior Management Team, Finance staff, Award Managers, Compliance Champions, and as requested by supervisor	Within six months following promulgation of this policy, upon induction as Compliance Champion, and then every two years	Within six months following promulgation of this policy, upon induction as Compliance Champion
Fraud Investigation Basics	Compliance Champions and others designated to conduct investigations	Upon designation, and then every two years	Within six months of designation

## MONITORING MECHANISMS

What are you monitoring?	Data source	Action Owner	Escalation levels	Frequency
Policies and procedures are being communicated to relevant audience	Attestation Exception Aging Report from the Policies and Procedures Management System	Policies and Procedures Management System Administrator	Vice President(s) whom the relevant persons report to.	Annual
Relevant Trainings	Human Resources training tracker	Human Resources	Vice President(s) who has oversight of the policies and procedures manual(s).	Annual



## EXCEPTION APPROVAL PROCEDURE

Procedure/ Action	Action Owner
Exceptions to this policy requires written approval by the Chief Operating Officer	Person seeking exception to policy
File and retain exception approval	Policies and Procedures Management System Administrator

## VERSION CONTROL

Version number	Version Date	Revisions made
COMPL-01.2	June __, 2015	Revision of existing Zero Tolerance Policy
COMPL-01.1	November 23, 2013	



**Save the Children®**  
USA

**GENERAL EXPENSE DIRECT DEPOSIT AUTHORIZATION FORM**

**SCUS Contact Person: Carol Gibson**

**Phone: 859-899-1179**

**Email: [apdept@savechildren.org](mailto:apdept@savechildren.org)**

*This authorization will remain in effect until I provide the company written notice of revocation. The notice of revocation must be provided in a manner specified by the company, or by providing to the same person or office to which this authorization was delivered.*

*I agree that the credit entries authorized by this agreement shall be subject to the rules of the National Automated Clearing House association or other applicable clearing system as in effect on the date of the transaction.*

NAME: \_\_\_\_\_ FEDERAL ID # (EIN): \_\_\_\_\_

ADDRESS: \_\_\_\_\_

ADDRESS 2: \_\_\_\_\_ SUITE: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

REMITTANCE ADDRESS (if different):

ADDRESS: \_\_\_\_\_

ADDRESS 2: \_\_\_\_\_ SUITE: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

CONTACT NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_

PHONE: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ FAX: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

EMAIL: \_\_\_\_\_

**Are you a small or minority owned business (CIRCLE ONE):** Yes      No

**ATTACH A VOIDED CHECK**

FINANCIAL INSTITUTION (BANK) NAME: \_\_\_\_\_

PHONE: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ ACCOUNT TYPE (CIRCLE ONE): CHECKING      SAVINGS

BANK ACCOUNT #: \_\_\_\_\_ ROUTING/ABA #: \_\_\_\_\_

*For organizations outside the US:*

COUNTRY: \_\_\_\_\_

BANK ACCOUNT #: \_\_\_\_\_ SWIFT #: \_\_\_\_\_

Signature of Authorized Representative: \_\_\_\_\_

DATE: \_\_\_\_/\_\_\_\_/\_\_\_\_

Please send completed form and voided check to: 163 Old Todds Rd., Suite 175, Lexington, KY 40509