



UPSTREAM INVESTMENTS

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

Portfolio of Model Upstream Investments: Program Renewal Policy

Revised October 29, 2013

Requirements for Renewal Submissions

Renewal for Same Tier Placement

After an organization's program has been on the Portfolio of Model Upstream Programs for three years, all future applications for that program at the same Tier for which it was approved must be submitted as a Renewal Application, using the instructions and application forms posted on the Upstream Investments website at the time of the renewal submission. The renewal process for each Tier is detailed below.

Renewal for Different Tier Placement

After an organization's program has been on the Portfolio of Model Upstream Programs for three years and the organization wishes to submit a future application for that program at a different Tier from which it was previously approved, the organization must submit a New Application for this program, using the instructions and application forms posted on the Upstream Investments website at the time of the new submission.

Renewal Process for Programs Currently Approved as Tier 1

1. An organization with a program that is approved on the Portfolio of Model Upstream Programs as Tier 1 has three years from the date of approval to submit a Tier 1 Renewal Application for this program, using the instructions and application forms posted on the Upstream Investments website at the time of the Tier 1 renewal submission.
2. All organizations with approved Tier 1 programs will receive emailed notices regarding the date their programs will expire as approved Tier 1 Portfolio Programs, the policies regarding renewal, and specific types of technical assistance available to help them submit a Tier 1 Portfolio Renewal Application. These email notices will be sent 18, 12, 6, and 3 months prior to a program's expiration date.
3. Organizations submitting a Tier 1 program for renewal should complete the Program Description Renewal Form and the Tier 1 Renewal Form. These forms request for the organization to provide any changes in the program over the past three years, including changes in the program's fidelity and adaptations. It is not necessary to complete the Prerequisites Form the organization submitted with its previous Portfolio application. All Tier 1 program renewal applications will be

evaluated by the Portfolio Review Committee according to the approved procedures that are in place at the time of the Tier 1 renewal application.

4. If within three years of an organization having an approved Tier 1 Portfolio program, the program is no longer listed on an approved Clearinghouse or the rating of the program no longer meets the standards outlined in the Clearinghouse Crosswalk, the organization will be able to submit a Tier 2 Application for the program, using the instructions and application forms posted on the Upstream Investments website at the time of the new Tier 2 submission. All new Tier 2 program applications will be evaluated by the Portfolio Review Committee according to the approved procedures that are in place at the time of the Tier 2 application.
5. If within three years of having an approved Tier 1 program, an organization does not submit a Tier 1 Renewal Application for the program, that program will be removed from the Portfolio of Upstream Programs. Organizations with a program that has been removed from the Portfolio for failure to submit a renewal application within the required three-year application renewal period may submit a Portfolio Renewal application at any time, using the instructions and application forms posted on the Upstream Investments website at the time of the Portfolio re-submission.

Renewal Process for Programs Currently Approved as Tier 2

1. An organization with a program that is approved on the Portfolio of Model Upstream Programs as Tier 2 has three years from the date of approval to submit a Tier 2 Renewal Application for this program, using the instructions and application forms posted on the Upstream Investments website at the time of the Tier 2 renewal submission.
2. All organizations with approved Tier 2 programs will receive emailed notices regarding the date their programs will expire as approved Tier 2 Portfolio Programs, the policies regarding renewal, and specific types of technical assistance available to help them submit a Tier 2 Portfolio Renewal Application. These email notices will be sent 18, 12, 6, and 3 months prior to a program's expiration date.
3. Organizations submitting a Tier 2 program for renewal should complete the Program Description Renewal Form and the Tier 2 Renewal Form. These forms request for the organization to provide any changes in the program over the past three years, including an opportunity to submit an updated evaluation report based on data collected during the past three years. It is not necessary to complete the Prerequisites Form the organization submitted with its previous Portfolio application. All Tier 2 program renewal applications will be evaluated by the Portfolio Review Committee according to the approved procedures that are in place at the time of the Tier 2 renewal application.

4. If within three years of having an approved Tier 2 program, an organization does not submit a Tier 2 Renewal Application for the program, that program will be removed from the Portfolio of Upstream Programs. Organizations with a program that has been removed from the Portfolio for failure to submit a renewal application within the required three-year application renewal period may submit a Portfolio Renewal application at any time, using the instructions and application forms posted on the Upstream Investments website at the time of the Portfolio re-submission.

Renewal Process for Programs Currently Approved as Tier 3

1. An organization with a program that is approved on the Portfolio of Model Upstream Programs as Tier 3 has three years from the date of approval to submit a Tier 2 Application for this program, using the instructions and application forms posted on the Upstream Investments website at the time of the Tier 2 submission. In the three years after having a program approved as a Tier 3 program, the organization is expected to implement the Evaluation Plan that was included in its original Tier 3 application and develop a robust Program Manual. All Tier 2 program submissions for programs that have previously been approved as Tier 3 will be evaluated by the Portfolio Review Committee according to the approved procedures that are in place at the time of the Tier 2 application.
2. All organizations with approved Tier 3 programs will receive emailed notices regarding the date their programs will expire as approved Tier 3 Portfolio Programs, the policies regarding renewal, and specific types of technical assistance available to help them implement the Evaluation Plan that was approved as part of their Tier 3 Portfolio Application. These email notices will be sent 24, 12, 6, and 3 months prior to a program's expiration date.
3. If extenuating circumstances, such as significant changes in leadership, governance, programming, physical environment, and funding, have made it impossible for the organization to have implemented a program evaluation or created a robust Program Manual within three years, the organization may submit the program again to be on the Portfolio using a Tier 3 Renewal Form and a Program Description Renewal Form. The Tier 3 Renewal Form asks for identification of extenuating circumstances causing the organization to re-submit as a Tier 3 application and requests that the organization describe changes in the program over the past 3 years. It is not necessary to complete the Prerequisites Form the organization submitted with its previous Portfolio application. All Tier 3 program renewal applications for programs that have previously been approved as Tier 3 will be evaluated by the Portfolio Review Committee according to the approved procedures that are in place at the time of the Tier 3 renewal application.
4. If an organization has a program that has been approved to be on the portfolio as a Tier 3 program for two consecutive three-year periods, it must submit a Tier 2 Application for the program within three years of the date of the second approval, using the instructions and application forms from the Upstream Investments website at the time of the Tier 2 submission. If

For questions contact Info@SonomaUpstream.org – 707.565.5800 or mail to Upstream, 3600 Westwind Blvd., Santa Rosa, CA 95402. Portfolio of Upstream Programs: **Renewal Process(Revised 10.18.13)**

an organization does not submit a Tier 2 Application for a program that has been on the Portfolio as a Tier 3 program for six consecutive years, that program will be removed from the Portfolio of Upstream Programs. Organizations with a program that has been removed from the Portfolio for failure to submit a Tier 2 Application after being on the Portfolio as a Tier 3 program for six consecutive years may submit a Tier 2 Application at any time, using the approved forms posted on the Upstream Investments website at the time of the Portfolio Tier 2 submission.

5. If within three years of having an approved Tier 3 program, an organization does not submit either a Tier 2 Application for that program or a Tier 3 Renewal Application describing extenuating circumstances causing a Tier 3 renewal submission, that program will be removed from the Portfolio of Upstream Programs. Organizations with a program that has been removed from the Portfolio for failure to reapply within the required three-year application renewal period and have an extenuating circumstance causing a Tier 3 renewal submission may submit a Tier 3 Renewal Application at any time, using the approved forms posted on the Upstream Investments website at the time of the Portfolio re-submission.