

# **SUMMARY ACTION MINUTES**

## **REGULAR MEETING FIRST 5 ORANGE COUNTY, CHILDREN & FAMILIES COMMISSION**

*Wednesday, October 4, 2023, 9:00 A.M.*

Orange County Transportation Authority Conference Center  
550 South Main Street  
Orange, California

**RAMIN BASCHSHI, MD**  
Chair

**DOUG CHAFFEE**  
Vice Chair

**JACKIE FILBECK**  
Commissioner

**YVETTE LAVERY, MPA, MBE**  
Commissioner

**SUSAN MCCLINTIC**  
Commissioner

**SOLEDAD L. RIVERA**  
Commissioner

**ANGIE ROWE**  
Commissioner

**AN TRAN**  
Commissioner

**MINDY WINTERSWYK, DPT, PCS**  
Commissioner

**ATTENDANCE:** Commissioners: Baschshi, Chaffee, Filbeck, Lavery, McClintic, Rivera, Rowe and Winterswyk

**EXCUSED:** Commissioner Tran

**PRESENT:** PRESIDENT/CEO  
COMMISSION COUNSEL  
CLERK OF THE COMMISSION

Kimberly Goll  
Cassie Trapesonian  
Maria Lopez, Deputy

### **PLEDGE OF ALLEGIANCE**

Pledge of Allegiance was led by Commission Counsel, Cassie Trapesonian

### **PRESENTATION:** (Item 1)

1. Receive Presentation on Child Care Workforce Development  
**PRESENTED**

## SUMMARY ACTION MINUTES

### **CONSENT CALENDAR:** (Items 2 - 5)

421356789 **APPROVED AS RECOMMENDED**

x

2. Approve updates to the 2023 Administrative Policies and Procedures
3. Adopt Resolution Approving Amendments to the Conflict of Interest Code  
*RESO: 23-029*
4. Receive Report on Systems Change Efforts
5. Adopt Resolution Authorizing Agreement with a Revised Amount with the California Children and Families Foundation to Provide Consulting Services for Home Visiting Coordination  
*RESO: 23-030*

### **PUBLIC HEARING:** (Item 6)

6. Conduct Public Hearing to Receive and Authorize Certification of First 5 Orange County's submittal of First 5 California's Fiscal Year 2022-2023 Annual Report

### **C.O. CLOSED PUBLIC HEARING**

431256789 **APPROVED AS RECOMMENDED**

x

### **REGULAR ITEMS:** (Items 7 - 11)

7. Receive Update on Technical Advisory Committee and Provide Input for Community Summit on Systems Improvement Work  
**RECIVED**
  8. Receive Update from Partnership and Government Affairs  
**RECEIVED**
  9. Authorize Acceptance of \$100,000 from PNC Bank for Kid Builders Sponsorship
- 471235689 **APPROVED AS RECOMMENDED**
- x
10. Adopt Resolution Authorizing Agreement with Health Plus Studio to Provide Support for Family and Early Childhood Mental Health Community Planning
- 461235789 **APPROVED AS RECOMMENDED**
- x *RESOS: 23-031 - 23-032 C&FC*
11. Authorize Funding for an Intergovernmental Transfer (IGT) Transaction with CalOptima and Adopt Resolution Authorizing Agreement with the California Department of Health Care Services
- 431256789 **APPROVED AS RECOMMENDED**
- A X *(Commissioner Rivera abstained from discussion and vote on this item and declared her affiliation with CalOptima)*  
*RESO: 23-033 C&FC*

## SUMMARY ACTION MINUTES

### **PRESIDENT/CEO REPORT:** (Item 12)

12. Receive the President/Chief Executive Officers Report
  - a. Quarterly investment report
  - b. Action Plan Update
  - c. Kid Builder Activities/Contest
  - d. PN3
  - e. Family Ambassadors
  - f. F5 25-year anniversary

**RECEIVED**

### **CLOSED SESSION** (Item 13)

13. A Closed Session will be held pursuant to Government Code Section 54957.6 to meet with the designated representative, Chairman Ramin Baschshi, regarding the compensation of the President/CEO, Kimberly Goll

C.O. **HELD, NO REPORTABLE ACTION**

### **REGULAR ITEM** (Item 14)

14. Review, Consider, and Approve any Adjustments to the Contract of Employment and Compensation of the President/CEO, Kimberly Goll, as deemed necessary by the Board of Commissioners

641235789 **COMMISSIONER RIVERA MOTIONED: BASED ON THE STUDY WAS DONE ON THE**  
x **ENTIRE ORGANIZATION INCLUDING COMPENSATION WE FOUND OUT THE**  
**RESULTS OF THE STUDY THAT OUR CEO OF THE COMMISSION WAS UNDER**  
**MARKET RATE SALARY. IN COMPARISON TO HER PEERS, WE WOULD LIKE TO**  
**MAKE A MOTION TO INCREASE HER SALARY TO 4.6 %.**

### **PUBLIC & COMMISSION COMMENTS:**

**PUBLIC COMMENTS:** None

**COMMISSION COMMENTS:** None

**ADJOURNED:** 10:35 A.M.

# SUMMARY ACTION MINUTES

\*\*\* KEY \*\*\*

## *Left Margin Notes*

1 Ramin Baschshi, MD  
2 Doug Chaffee  
3 Jackie Filbeck  
4 Yvette Lavery, MPA, MBE  
5 Susan McClintic  
6 Soledad L. Rivera  
7 Angie Rowe  
8 An Tran  
9 Mindy Winterswyk, DPT, PCS

A = Abstained  
X = Excused  
N = No  
C.O. = Commission Order

Reso = Resolution  
Ord = Ordinance

(1st number = Moved by; 2nd number = Seconded by)



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RAMIN BASCHSHI, MD  
*Chair*



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MARIA LOPEZ, Deputy  
*Clerk of the Commission*



**Date:** September 21, 2023  
**To:** First 5 Orange County  
**From:** Kim Goll, President/CEO   
**Action:** Receive Presentation on Child Care Workforce Development

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A focus of First 5 Orange County's Strategic Plan is to increase access to quality infant and toddler child care. One of our approaches to this work is to build capacity and interest in Orange County's workforce in order to increase available child care sites that provide quality care. We have several streams of child care workforce-related investments, including a mentorship program, a business program, and a child care incubator program.

Cristina Blevins will share First 5 Orange County's child care workforce development strategies and how they are leading to increased quality child care slots. Iosefa Alofaituli from CIELO will join Cristina for the presentation. His bio is attached. CIELO is a key partner in the workforce development efforts and Iosefa will share his experience with the programs he is involved in and the impact of the partnership with First 5 OC.

We will close the presentation with a brief video of our most recent Child Care Business Program graduation and Camila Soruco, a newly licensed family child care provider and graduate from the program.

**Attachments:**

1. Bio for Iosefa Alofaituli
2. Presentation

**Contact:** Cristina Blevins

## **Iosefa Alofaituli, Executive Director & Co-founder CIELO**

I am honored to lead CIELO six years after helping to incubate the organization. While CIELO was establishing its presence and impact, I had the fortune of learning from Opportunity Fund (the largest nonprofit serving small businesses in the US), and now I feel uniquely prepared to guide CIELO through its next phase of growth.

From the moment I took this position in April 2021, my focus has been on establishing a culture rooted in core values that are important to the clients and partners CIELO serves. I want to foster an Orange County & Southern CA community that values our innovative, creative, and passionate entrepreneurs, no matter their ethnicity, gender, or income level. We will leverage CIELO as a vehicle to advance social and economic justice.

While I was with Opportunity Fund from 2016-2021, I lead the organization's development and brand awareness efforts in Southern California as the Regional Director and helped advance our national expansion through business advising and education.

In 2015 I resigned from my role at Oak View Renewal Partnership (OVRP) as CEO. During my time with OVRP, I had the opportunity to lead a grassroots place-based initiative that is focused on systemic change in a Latino community that suffers from social, economic, and health disparities.

In 2008, I returned to the US after volunteering in the Peace Corps for two years as a Community Economic Development Volunteer. During my service I mobilized a small fishing village community in the Dominican Republic to develop infrastructure projects, including a new artisan school, ceramic stoves, an artisan workshop, reforestation, and a youth-run business. In addition, I helped coordinate youth educational initiatives in HIV/AIDS, sex-ed, English, environmental awareness, and basic business skills.

Prior to the Peace Corps, I was in the healthcare industry, where I worked in managed care/hospital sales in Los Angeles, and account-based hospital sales in New York.

Having this spectrum of experience since graduating from the Univ. of Pennsylvania in 2000 has heightened my self-awareness and enriched my worldly perspective. Today, I am passionate about utilizing my lived experiences, skills, and instincts developed in corporate America, international development, and non-profit sector, to help create better lives for others.



# Growing Orange County's Child Care Workforce

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October 4, 2023

# Overview

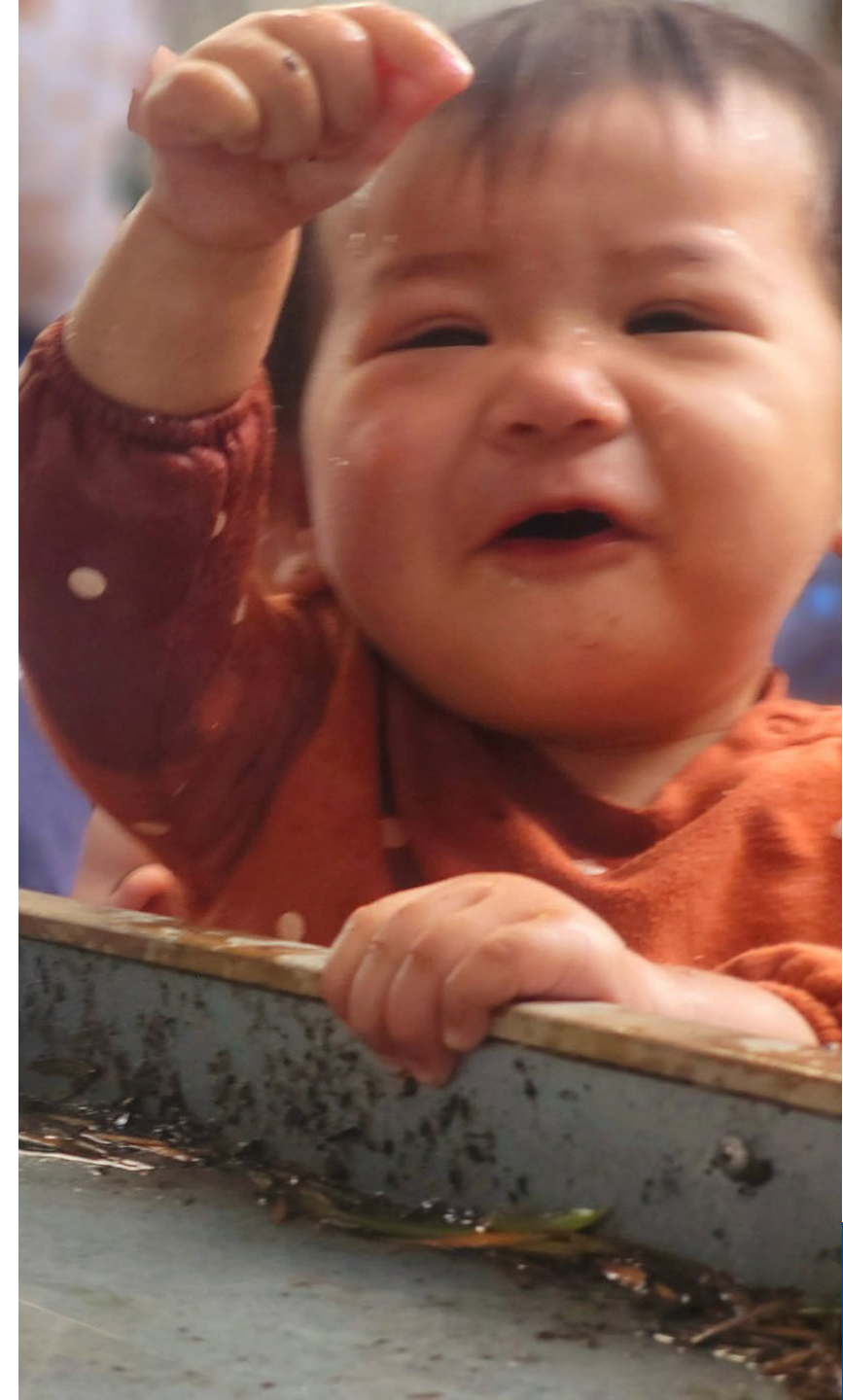
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- Need for a Systems Approach
- First 5 OC's Workforce Investments
- CIELO: a Key Business Partner
- Successes to Date
  - Highlights from our business program graduates

# The Need for a Systems Approach

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- The **child care system is fragmented**, with different components not always coordinating with one another
- There is a **significant shortage of infant/toddler care and facilities** in our county
- Workforce challenges are significant – the **sector needs more and better supported child care workers**
- Orange County's child care industry is **the workforce behind the workforce** and is critical to our region

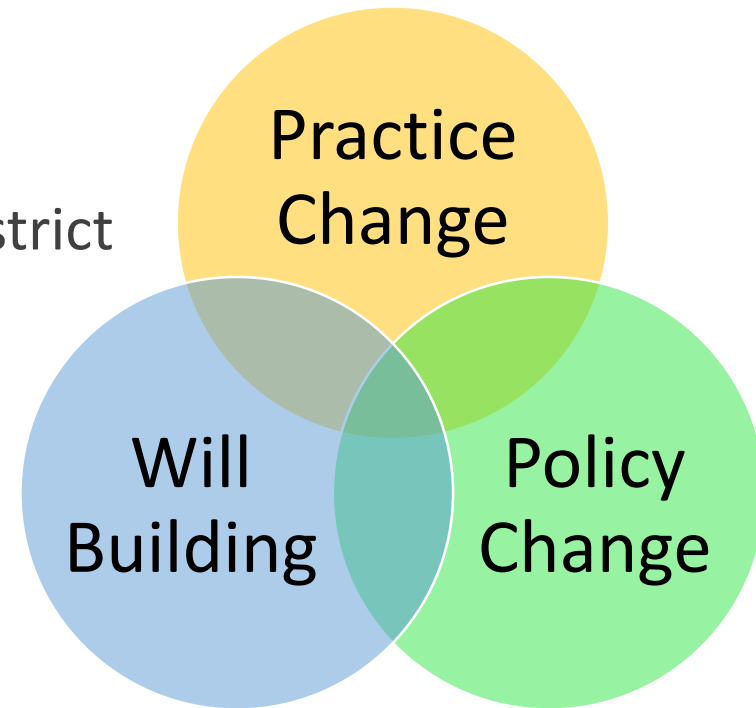


# First 5 OC's Child Care Workforce Investment

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## Strategies:

- **Apprentice Program**
  - Rancho Santiago Community College District
- **Business Program**
  - Small Business Development Centers
- **Incubator**
  - CIELO







# Apprentice Program

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- **Target Audience**
  - Future educators who are interested in teaching at a **center-based** program
- **Benefit**
  - Pipeline of staff for state preschool programs, Head Start, and other centers
- **Partners**
  - Rancho Santiago Community College District
    - Santa Ana College and Santiago Canyon College
- **Investment: \$100,000**

# Child Care Business Program

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- **Target Audience**
  - Future **Family Child Care** business owners
- **Benefit**
  - Pipeline of Family Child Care providers
  - Increased sustainability, resilience of providers
  - Reflects the communities being served
- **Partners**
  - Small Business Development Centers, Orange County Association for the Education of Young Children, CIELO
- **Investment: \$425,000**
  - \$275,000 for stipends and participant navigation
  - \$150,000 for peer guides







# Child Care Incubator

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- Target Audience
  - Family, Friend and Neighbor providers
- Benefit
  - Community based efforts to reach historically underrepresented communities
  - Various entry points into the child care workforce
- Partner
  - CIELO
- Investment: \$200,000



# CIELO<sup>1</sup>

Community for Innovation, Entrepreneurship,  
Leadership & Opportunities

**HELPING SMALL BUSINESS  
DREAMS GO BIG !**

CIELO<sup>1</sup>

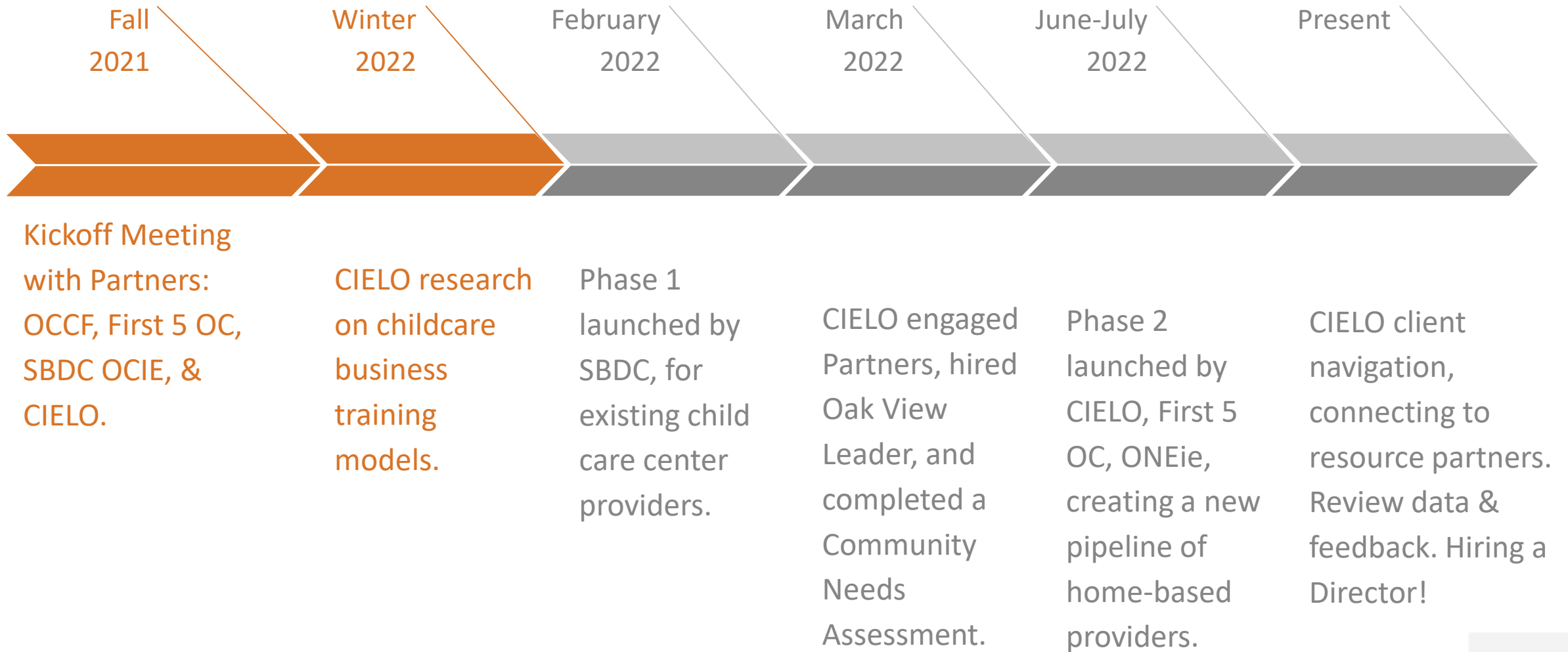
## **MISSION:**

CIELO catalyzes hope, resilience, and stability in disinvested communities by helping hardworking individuals transform their dreams of owning a neighborhood business into reality.

## **VISION:**

Be the mentors, network, and trusted partners that disinvested communities trust & turn to for help building thriving community businesses and opportunities for all.

# Timeline: Childcare Pilot Program





# Childcare Business Program- July 2022 Graduates



## **26 graduates completed the program & received \$500 Stipend**

- Half of graduates interested in launching a childcare business in 6 months-1 year. From these 12 graduates, 6 interested in being a Family, Friend, & Neighbor Provider (FFN), 4 interested in being a Licensed In-Home Childcare Provider, 2 interested in a Childcare Career as a Teacher/Aide.

**Variety of childcare pathways for graduates! Majority seeking FFN pathway or Licensing pathway**

## **In Partnership with:**



# Coming UP:

8 week

Family, Friends and Neighbor (FFN)  
Childcare Entrepreneur Cohort

Focus:

Fundamentals of Business and  
Child Development

When/Where:

September 2023 - Anaheim  
Winter 2023 - Costa Mesa  
Spring 2024 - South County





## Successes

- 49 participants have completed the business program
- 15 have submitted their licensing application = about 60 slots
- 1 has received a license!



Questions?



**DATE:** September 19, 2023  
**TO:** First 5 Orange County  
**FROM:** Kimberly Goll, President/CEO



**ACTION:** Approve updates to the 2023 Administrative Policies and Procedures

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**SUMMARY:**

Periodic reviews are conducted of First 5 Orange County's Administrative Policies and Procedures. This item requests approval for updates to one of our Policies and Procedures based on actions or operational changes that have occurred over the past year, and the addition of one new policy.

**DISCUSSION:**

First 5 Orange County's Administrative Policies and Procedures were originally adopted in November 2001. Revisions and edits to policies that require significant changes or updates are provided to the First 5 OC Board. The complete set of Administrative Policies and Procedures is on file with the Clerk of the Board and available upon request.

Policy 6.07 Records Retention Policy Schedule A (Attachment 1) requires routine updates to align with evolving businesses practices and ensure compliance with relevant laws and regulations. Policy 6.07 has been updated to incorporate references to both hard copy office files and digital records maintained by First 5 OC and expand the list of document types with the designated retention periods. Policy 2.08 Reasonable Accommodation is a new policy that outlines procedures for First 5 Orange County's receipt of and response to requests for reasonable accommodation from individuals with disabilities to participate in meetings subject to the Ralph M. Brown Act (Government Code Section 54950 et seq.).

**STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended action has been reviewed in relation to the Strategic Plan and is consistent with all goal areas. There is no fiscal impact or specific funding action proposed for this item.

**PRIOR COMMISSION ACTIONS:**

- August 2022 – Approved Updated Administrative Policies and Procedures

**RECOMMENDED ACTION:**

Approve updates to the 2022 Administrative Policies and Procedures.

**ATTACHMENTS:**

1. 6.07 Records Retention Policy Schedule A
2. 6.07 Records Retention Policy Schedule A (redline version)
3. 2.08 Reasonable Accommodation

**CONTACT:** Michael Garcell

Item #	Title and Description of Records	Retention Period	Location	Notes
1.	Accounting/Financial Records <i>Expense Reports, Budgets, Billing/Accounting Reports, Invoices, Receipts, Payments, Ledgers, and Registers</i>	AU + 3	Commission office and/or electronic files  County of Orange Records System	Retain original records maintained by the Commission for a period of 3 years after all scheduled audits are complete. Any records maintained electronically by the County of Orange will be maintained according to the County of Orange records retention schedule. This item does not apply to third-party contract related files, which are subject to the retention requirements of Item 6.
2.	Audit Reports	P	Commission office and/or electronic files	Retain records permanently.
3.	Commission Meeting Records <i>Agendas, minutes, and staff reports</i>	P	Commission office and/or electronic files	Retain records permanently.
4.	Commission Meeting Records <i>Resolutions, agendas, signed minutes, and recordings for public meetings of the Commission and any subcommittees; stipend forms; Commissioner attendance; Commissioner directives; and supporting documents</i>	P	County of Orange Clerk of the Board	Retain records permanently.

5.	Contracts <i>Original signed contracts</i>	CL + 3	County of Orange Clerk of the Board	Retain for a period of 3 years after the final activity date of the contract, which may be the receipt of the fiscal audit document and retention release invoice, or as may be required by a particular funding source. Commission Staff will notify the Clerk of the Board when a contract's retention period has expired.
6.	Contracts and Supporting Documents <i>Contract files including contracts and amendments, minute orders, invoices, budget modifications, site visit and risk assessment documents, insurance certificates, declarations, endorsements, correspondence, fiscal audit, and/or program audit documents, and other supporting documents</i>	CL + 3	Commission office and/or electronic files	<p>Retain original records for a period of 3 years after the final activity date of the contract, which may be the receipt of the fiscal audit document and retention release invoice, or as may be required by a particular funding source. Commission may keep electronic copies of contracts, amendments, and related correspondence indefinitely.</p> <p>Active contract folders are kept in the responsible Contract Administrator's office or other designated file area. After the final activity date of the contract, the Contract Administrator will review the contract folder for completeness, review and update appropriate evaluation and contracts management system information, determine the appropriate document destruction date and complete the contract closing checklist. Contract folders are moved to either the File Room or the Storage Room, for the Retention Period.</p>
7.	Emails	2 years	County of Orange servers	County of Orange Information Technology Department will perform automated deletions of Commission email servers after 2 years.

**COMMISSION RECORDS RETENTION AND DISPOSITION POLICY NO. 6.07 – SCHEDULE A**

ATTACHMENT 1

8.	Employee Benefits <i>Enrollment documents, Plan Documents, Billing payments, COBRA, and Disability records</i>	CU + 6 years	Commission office and/or electronic files	Retain current records for a period of 6 years in accordance with ERISA guidelines.  11 CCR §560; 28 Cal. Code Regs. §1300.85.1; 29 CFR §1627.3(b)(2) (ADEA – CU + 1 year after T); 29 USC §§1027, 1113 (ERISA)
9.	Employee Personnel File, Data, and Medical Leave <i>Applications, release authorizations, certifications, reassignments, outside employment, disciplinary actions, terminations, evaluations, fingerprints, ID cards, Family leave, medical certifications and tests, and pre-employment physical documents</i>	T + 4 years	Commission office and/or electronic files	Retain records for a period of 3 years after the term of employment has ended.  GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §516.5 (FLSA– 3 years); 29 CFR §1602.31 (Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year); 29 CFR §825.500 (FMLA – 3 years)
10.	Employee Policies, Forms, and Handouts <i>General Employee information, including benefit plans, forms, and handouts provided to Employees</i>	CU + 4 years	Commission office and/or electronic files	Retain current records for a period of 4 years.  GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §1602.31 (Title VII and ADA – CU +2 years); 29 CFR §1627.3(a) (ADEA – 1 year)
11.	Employee Programs <i>Includes commendations, awards, and recognitions</i>	CU + 4 years	Commission office and/or electronic files	Retain current records for a period of 4 years.  GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year); AQMD Rule 2202
12.	Employee and Commissioner Training <i>Employee Forms and training materials including training for volunteers and</i>	CU + 4 years	Commission office and/or	Retain current records for a period of 4 years, unless otherwise required by law.

Key: AU – Audit, CL – Closed, CU – Current, P – Permanent, S – Sold, T – Term of Employment

	<i>internships and sexual harassment training records</i>		electronic files	2 CCR §7288.0 (b)(2) (sexual harassment training – 2 years); GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – 3 years); 29 CFR §1627.3(a) (ADEA – 1 year)
13.	Governance <i>Governing records including Bylaws, Strategic Plans, and records essential to Commission operations</i>	P	Commission office and/or electronic files	Retain records permanently.
14.	Grant Records <i>Commission grant applications, agreements with grant source/agency, accounting records, grant audits, and supporting records</i>	CL + 3	Commission office and/or electronic files	This applies to grants received by the Commission. Retain records for 3 years after grant is closed out and all scheduled audits are completed, whichever occurs last, unless a longer retention period is specified by the grant or applicable laws.
15.	Intellectual Property <i>Records affecting the Commission's intellectual property and rights thereto (i.e. copyright, trademarks, and patents) including contracts, amendments, license agreements, and other documents evidencing the development, ownership, and/or transfer of such rights by the Commission and/or to the Commission</i>	Life of the intellectual property right + 7 years	Commission office and/or electronic files	Retain records throughout the life of the intellectual property right and for an additional 7 years thereafter.  Copyright Act of 1976, 17 U.S.C. §§101-810; Lanham (Trademark) Act, 15 U.S.C. Ch. 22; U.S. Patent Act 35 U.S.C. §1 et seq.
16.	Job Descriptions and Classifications <i>Includes classifications and wage rates, related staff reports, classification studies and surveys, and reclassification records</i>	CU + 4 years	Commission office and/or electronic files	Retain current records for a period of 3 years.  GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31

**COMMISSION RECORDS RETENTION AND DISPOSITION POLICY NO. 6.07 – SCHEDULE A**

ATTACHMENT 1

				(Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year)
17.	Payroll Records	P	Commission office and/or electronic files	Retain records permanently.
18.	Policies and Procedures	CU + 2 years	Commission office and/or electronic files	Retain current policies and procedures for 2 years after revised policies and procedures are approved or adopted.
19.	Procurements <i>Requests for proposals, invitations for bids, proposals, bids, requisitions, evaluation materials, correspondences, and supporting records</i>	CL + 3 years	Commission office and/or electronic files	Retain records for 3 years after procurement has closed and all scheduled audits are complete.
20.	Property Records <i>Deeds, titles, leases, and other records relating to real property</i>	S	Commission office and/or electronic files	Retain all documents affecting the Commission's interest in real property until property is sold, transferred, or the Commission has no further or property interest.
21.	Recruitments <i>Applications, resumes, lists/logs, indices, ethnicity disclosures, examination materials &amp; answer sheets, job bulletins, eligibility, release of information forms for recruitments, and electronic database</i>	CU + 4 years	Commission office and/or electronic files	Retain current records for a period of 4 years.  GC §12946 (Unlawful Employment Claims – 4 years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – CU +2 years); 29 CFR §1627.3(a) (ADEA – 1 year)

Key: AU – Audit, CL – Closed, CU – Current, P – Permanent, S – Sold, T – Term of Employment

22.	Retirement <i>OCERS, Social Security, and Supplemental Security Income</i>	CU + 6 years	Commission office and/or electronic files	Retain current records for a period of 6 years.  29 CFR §1627.3(a) (ADEA – 1 year); IRC §§3101-3128 (FICA – 4 years for Social Security and Medicare records, after tax is due or paid, whichever is later)
23.	Safety <i>OSHA logs, reports, and inspections</i>	Employee exposure records: T + 30 years  Cal/OSHA Form 300: 6 years	Commission office and/or electronic files	Retain all records of employee exposure for 30 years after the term of employment. Retain all injury and illness reports, including Cal/OSHA Form 300, records for a period of 6 years.  8 CCR §3204(d) (exposure); 8 CCR §14300.33 (Illness/Injury); 29 CFR §1910.1020 (exposure)
23.	Form 700 Statements of Economic Interests	7 years or 2 years, provided that documents have an electronic copy available	County of Orange Clerk of the Board	County of Orange Clerk of the Board retains all original records for a period of 7 years, or for 2 years provided that documents have an electronic copy available, or as otherwise provided GC §81009.
25.	Unemployment Records <i>Claims, reports, and related records</i>	CU + 4 years	Commission office and/or electronic files	Retain current records for a period of 4 years.  Cal. Un. Ins. Code §1085; 22 CCR §1085-2 (4 years from date contributions due or paid, whichever is later)

26.	Workers' Compensation <i>Claim files, reports, incidents (working files), and originals filed with administrator</i>	CL + 5 years* (see notes for further guidance)	Commission office and/or electronic files	<p>Records must be retained until the later of: (1) 5 years from the date of injury; (2) 1 year from the date workers' compensation benefits were last provided; (3) until all compensation due or which may be due has been paid, or (4) if an audit has been conducted within 5 years, then until the findings of the audit have become final.</p> <p>8 CCR §10102 (open claim files retained the later of: 5 years from date of injury; 1 year from the date compensation benefits were last provided; until all compensation due or which may be due has been paid; or if an audit has been conducted within 5 years, then until the findings of the audit have become final).</p> <p>8 CCR §15400.2 (All claim files retained for a minimum of 5 years from date of injury or from date compensation benefits were last provided).</p> <p>8 CCR §10103.2(a) (Claims log must be created and retained for 5 years)</p>
27.	Vista and Americorps <i>Records and supporting documents related to Vista and Americorps programs</i>	7 years	Offsite storage	Retain records for a period of 7 years.
28.	Participant and provider consent and authorization forms	7 years	Commission office and/or electronic files	Retain records for a period of 7 years from time of execution



29.	Commissioner Ethics Training Certificates	5 years	County of Orange Clerk of the Board	Retain records indicating both of the following: (1) the dates that each Commissioner satisfied the ethics training requirement, and (2) the entity that provided the training. Records will be maintained for 5 years after the Commissioner received the training.
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## Notes:

ADA – Americans with Disabilities Act; ADEA – Age Discrimination in Employment Act; AQMD – Air Quality Management District; Cal/OSHA – California Division of Occupational Safety and Health; CCR – California Code of Regulations; CFR – Code of Federal Regulations; CFRA – California Family Rights Act; ERISA – Employee Retirement Income Security Act; FICA – Federal Insurance Contributions Act; FLSA – Fair Labor Standards Act; FMLA – Family Medical Leave Act; GC – California Government Code; IRC – Internal Revenue Code; USC – United States Code

Item #	Title and Description of Records	Retention Period	Location	Notes
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2.	Audit Reports	P	Commission office <u>and/or</u> and electronic files	Retain records permanently.
3.	Commission Meeting Records <i>Agendas, minutes, and staff reports</i>	P	Commission office <u>and/or</u> and electronic files	Retain records permanently.
4.	Commission Meeting Records <i>Resolutions, agendas, signed minutes, and recordings for public meetings of the Commission and any subcommittees; stipend forms; Commissioner attendance; Commissioner directives; and supporting documents</i>	P	County of Orange Clerk of the Board	Retain records permanently.

5.	Contracts <i>Original signed contracts</i>	CL + 3	County of Orange Clerk of the Board	Retain for a period of 3 years after the final activity date of the contract, which may be the receipt of the fiscal audit document and retention release invoice, or as may be required by a particular funding source. Commission Staff will notify the Clerk of the Board when a contract's retention period has expired.
6.	Contracts and Supporting Documents <i>Contract files including contracts and amendments, minute orders, invoices, budget modifications, site visit and risk assessment documents, insurance certificates, declarations, endorsements, correspondence, fiscal audit, and/or program audit documents, and other supporting documents</i>	CL + 3	Commission office <u>and/or</u> <del>and</del> electronic files	<p>Retain original records for a period of 3 years after the final activity date of the contract, which may be the receipt of the fiscal audit document and retention release invoice, or as may be required by a particular funding source. Commission may keep electronic copies of contracts, amendments, and related correspondence indefinitely.</p> <p>Active contract folders are kept in the responsible Contract Administrator's office or other designated file area. After the final activity date of the contract, the Contract Administrator will review the contract folder for completeness, review and update appropriate evaluation and contracts management system information, determine the appropriate document destruction date and complete the contract closing checklist. Contract folders are moved to either the File Room or the Storage Room, for the Retention Period.</p>
7.	Emails	2 years	County of Orange servers	County of Orange Information Technology Department will perform automated deletions of Commission email servers after 2 years.

COMMISSION RECORDS RETENTION AND DISPOSITION POLICY NO. 6.07 – SCHEDULE A

ATTACHMENT 2

8.	Employee Benefits <i>Enrollment documents, Plan Documents, Billing payments, COBRA, and Disability records</i>	CU + 6 years	Commission office <u>and/or</u> and electronic files	Retain current records for a period of 6 years in accordance with ERISA guidelines.  11 CCR §560; 28 Cal. Code Regs. §1300.85.1; 29 CFR §1627.3(b)(2) (ADEA – CU + 1 year after T); 29 USC §§1027, 1113 (ERISA)
9.	Employee Personnel File, Data, and Medical Leave <i>Applications, release authorizations, certifications, reassignments, outside employment, disciplinary actions, terminations, evaluations, fingerprints, ID cards, Family leave, medical certifications and tests, and pre-employment physical documents</i>	T + <del>43</del> 2 years	Commission office <u>and/or</u> and electronic files	Retain records for a period of <del>32</del> years after the term of employment has ended.  GC §12946 (Unlawful Employment Claims – <del>24</del> years); 29 CFR §516.5 (FLSA– 3 years); 29 CFR §1602.31 (Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year); 29 CFR §825.500 (FMLA – 3 years); <del>GC §12946 (applies to CFRA—2 years)</del>
10.	Employee Policies, Forms, and Handouts <i>General Employee information, including benefit plans, forms, and handouts provided to Employees</i>	CU + <del>42</del> years	Commission office <u>and/or</u> and electronic files	Retain current records for a period of <del>42</del> years.  GC §12946 (Unlawful Employment Claims – <del>42</del> years); 29 CFR §1602.31 (Title VII and ADA – CU +2 years); 29 CFR §1627.3(a) (ADEA – 1 year)
11.	Employee Programs <i>Includes commendations, awards, and recognitions</i>	CU + <del>43</del> years	Commission office <u>and/or</u> and electronic files	Retain current records for a period of <del>43</del> years.  GC §12946 (Unlawful Employment Claims – <del>42</del> years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year); AQMD Rule 2202
12.	Employee and Commissioner Training <i>Employee Forms and training materials including training for volunteers and</i>	CU + <del>43</del> years	Commission office <u>and/or</u> and	Retain current records for a period of <del>43</del> years, unless otherwise required by law.

Key: AU – Audit, CL – Closed, CU – Current, P – Permanent, S – Sold, T – Term of Employment

COMMISSION RECORDS RETENTION AND DISPOSITION POLICY NO. 6.07 – SCHEDULE A

ATTACHMENT 2

	<i>internships and sexual harassment training records</i>		electronic files	2 CCR §7288.0 (b)(2) (sexual harassment training – 2 years); GC §12946 (Unlawful Employment Claims – <del>42</del> years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – 3 years); 29 CFR §1627.3(a) (ADEA – 1 year)
13.	Governance <i>Governing records including Bylaws, Strategic Plans, and records essential to Commission operations</i>	P	Commission office <u>and/or</u> <del>and</del> electronic files	Retain records permanently.
14.	Grant Records <i>Commission grant applications, agreements with grant source/agency, accounting records, grant audits, and supporting records</i>	CL + 3	Commission office <u>and/or</u> <del>and</del> electronic files	This applies to grants received by the Commission. Retain records for 3 years after grant is closed out and all scheduled audits are completed, whichever occurs last, unless a longer retention period is specified by the grant <u>or applicable laws</u> .
15.	Intellectual Property <i>Records affecting the Commission's intellectual property and rights thereto (i.e. copyright, trademarks, and patents) including contracts, amendments, license agreements, and other documents evidencing the development, ownership, and/or transfer of such rights by the Commission and/or to the Commission</i>	Life of the intellectual property right + 7 years	Commission office <u>and/or</u> <del>and</del> electronic files	Retain records throughout the life of the intellectual property right and for an additional 7 years thereafter.  Copyright Act of 1976, 17 U.S.C. §§101-810; Lanham (Trademark) Act, 15 U.S.C. Ch. 22; U.S. Patent Act 35 U.S.C. §1 et seq.
16.	Job Descriptions and Classifications <i>Includes classifications and wage rates, related staff reports, classification studies and surveys, and reclassification records</i>	CU + <del>43</del> years	Commission office <u>and/or</u> <del>and</del> electronic files	Retain current records for a period of 3 years.  GC §12946 (Unlawful Employment Claims – <del>42</del> years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR

Key: AU – Audit, CL – Closed, CU – Current, P – Permanent, S – Sold, T – Term of Employment

				§1602.31 (Title VII and ADA – CU + 2 years); 29 CFR §1627.3(a) (ADEA – 1 year)
17.	Payroll Records	P	Commission office <u>and/or</u> and electronic files	Retain records permanently.
18.	Policies and Procedures	CU + 2 years	Commission office <u>and/or</u> and electronic files	Retain current policies and procedures for 2 years after revised policies and procedures are approved or adopted.
19.	Procurements <i>Requests for proposals, invitations for bids, proposals, bids, requisitions, evaluation materials, correspondences, and supporting records</i>	CL + 3 years	Commission office <u>and/or</u> and electronic files	Retain records for 3 years after procurement has closed <u>and all scheduled audits are complete.</u>
20.	Property Records <i>Deeds, titles, leases, and other records relating to real property</i>	S	Commission office <u>and/or</u> and electronic files	Retain all documents affecting the Commission's interest in real property until property is sold, transferred, or the Commission has no further or property interest.
21.	Recruitments <i>Applications, resumes, lists/logs, indices, ethnicity disclosures, examination materials &amp; answer sheets, job bulletins, eligibility, release of information forms for recruitments, and electronic database</i>	CU + <del>43</del> years	Commission office <u>and/or</u> and electronic files	Retain current records for a period of <del>43</del> years.  GC §12946 (Unlawful Employment Claims – <del>42</del> years); 29 CFR §516.5 (FLSA – 3 years); 29 CFR §1602.31 (Title VII and ADA – CU +2 years); 29 CFR §1627.3(a) (ADEA – 1 year)



22.	Retirement <i>OCERS, Social Security, and Supplemental Security Income</i>	CU + 6 years	Commission office <u>and/or</u> <u>and</u> electronic files	Retain current records for a period of 6 years.  29 CFR §1627.3(a) (ADEA – 1 year); IRC §§3101-3128 (FICA – 4 years for Social Security and Medicare records, after tax is due or paid, whichever is later)
23.	Safety <i>OSHA logs, reports, and inspections</i>	Employee exposure records: T + 30 years  Cal/OSHA Form 300: <u>65</u> years	Commission office <u>and/or</u> <u>and</u> electronic files	Retain all records of employee exposure for 30 years after the term of employment. Retain all <u>injury and illness reports, including</u> Cal/OSHA Form 300, records for a period of <u>65</u> years.  8 CCR §3204(d) (exposure); 8 CCR §14300.33 (Illness/Injury); 29 CFR §1910.1020 (exposure)
23.	<u>Form 700</u> Statements of Economic Interests ( <u>Commission Board Members and Staff</u> ) ( <del>Form 700</del> )	7 years or 2 years, provided that documents have an electronic copy available	County of Orange Clerk of the Board	County of Orange Clerk of the Board retains all original records for <u>Commission Board Members and staff</u> for a period of 7 years, or for 2 years provided that documents have an electronic copy available, or as otherwise provided GC §81009.
<del>24.</del>	<del><u>Form 700</u> Statements of Economic Interests (Consultants)</del>	<del><u>7 years</u> or <u>2 years</u>, provided that documents have an electronic</del>	<del><u>Original</u> <u>Records</u> maintained at <u>Commission</u> <u>office and/or</u> <u>electronic</u> <u>files</u></del>	<del><u>Commission retains all original records for consultants for a period of 7 years, or for 2 years provided that documents have an electronic copy available, or as otherwise provided GC §81009.</u></del>

		<u>copy available</u>	<u>Copies retained by County of Orange Clerk of the Board</u>	<u>The County of Orange Clerk of the Board retains copies of consultant records for 7 years.</u>
254.	Unemployment Records <i>Claims, reports, and related records</i>	CU + 4 years	Commission office <u>and/or</u> <u>and</u> electronic files	Retain current records for a period of 4 years.  Cal. Un. Ins. Code §1085; 22 CCR §1085-2 (4 years from date contributions due or paid, whichever is later)
265.	Workers' Compensation <i>Claim files, reports, incidents (working files), and originals filed with administrator</i>	CL + 5 years* <u>(see notes for further guidance)</u>	Commission office <u>and/or</u> <u>and</u> electronic files	Records must be retained <u>for until the later of: a minimum of (1) 5 years from the date of injury; (2) 1 year from</u> <del>or the date workers' compensation benefits were last provided;</del> <u>(3) until all compensation due or which may be due has been paid, or (4) if an audit has been conducted within 5 years, then until the findings of the audit have become final, whichever is later. Only closed files that have no future medical can be destroyed after 2 years.</u>  8 CCR §10102 ( <del>o</del> Open claim files retained <u>the later of: 5 years from date of injury; one 1 year from the or</u> date compensation benefits were last provided; <u>until all compensation due or which may be due has been paid; or if an audit has been conducted within 5 years, then until the findings of the audit have become final</u> ) <del>whichever is later. Original files of closed claims must be retained for 2 years.</del>

				<p><u>8 CCR §15400.2</u> (All claims files retained <u>for a minimum of 5 years from date of injury or from date compensation benefits were last provided</u>).</p> <p><del>.); 8 CCR §15400.2 (Claim files kept for 5 years);</del> 8 CCR §10103.2(a) (Claims log must be created and retained for 5 years)</p>
276.	Vista and Americorps <i>Records and supporting documents related to Vista and Americorps programs</i>	7 years	Offsite storage	Retain records for a period of 7 years.
287.	Participant and provider consent and authorization forms	7 years	<u>Commission office and/or electronic files?</u>	Retain records for a period of 7 years from time of execution
29.	<u>Commissioner Ethics Training Certificates</u>	<u>5 years</u>	<u>County of Orange Clerk of the Board</u>	<u>Retain records indicating both of the following: (1) the dates that each Commissioner satisfied the ethics training requirement, and (2) the entity that provided the training. Records will be maintained for five5 years after the Commissioner received the training.</u>

## Notes:

ADA – Americans with Disabilities Act; ADEA – Age Discrimination in Employment Act; AQMD – Air Quality Management District; Cal/OSHA – California Division of Occupational Safety and Health; CCR – California Code of Regulations; CFR – Code of Federal Regulations; CFRA – California Family Rights Act; ERISA – Employee Retirement Income Security Act; FICA – Federal Insurance Contributions Act; FLSA – Fair Labor Standards Act; FMLA – Family Medical Leave Act; GC – California Government Code; IRC – Internal Revenue Code; USC – United States Code

Key: AU – Audit, CL – Closed, CU – Current, P – Permanent, S – Sold, T – Term of Employment

**POLICIES AND PROCEDURES**  
**No: 2.08****REASONABLE ACCOMMODATION****PURPOSE**

The purpose of this policy is to outline procedures for First 5 Orange County's receipt of and response to requests for reasonable accommodation from individuals with disabilities to participate in meetings subject to the Ralph M. Brown Act (Government Code Section 54950 et seq.).

**POLICY STATEMENT**

It is the policy of First 5 Orange County to swiftly resolve reasonable accommodation requests for individuals with disabilities, consistent with the Federal Americans with Disabilities Act of 1990 (42 U.S.C. Sec. 12132) and implementing regulations in Title 28 of the Code of Federal Regulations Part 35, and resolving any doubt in favor of accessibility. Requests may be submitted by any individual that participates in or conducts the meeting, including members of the public, staff, and the Board of Commissioners. This policy shall apply to all meetings of First 5 Orange County that are open to the public as required by the Ralph M. Brown Act (Government Code Section 54950 et seq.).

**PROCEDURE****A. Readily Available Accommodations**

Any of the following accommodations can be provided in person at a First 5 Orange County meeting subject to this Policy, subject to the notice requirements set forth in the agenda for the meeting:

1. Agendas and staff reports: Upon request, any agendas or staff reports can be made available in appropriate alternative formats to persons with a disability, such as large print and electronic format, including hyperlinks where appropriate so that the user can access linked information.
2. For individuals with hearing loss: Upon request, accommodations can include assistive listening devices.
3. For individuals with visual impairments: Upon request, accommodations can include the qualified readers and large print materials.

Note that certain First 5 Orange County meetings are streamed electronically and permit remote public participation. Each meeting's agenda notice outlines the public access for that particular meeting. Additionally, electronic agendas are available on First 5 Orange County's website at <https://first5oc.org/> in PDF format, which should be compatible with the screen readers that are commonly used by those who are visually impaired.

4. For individuals with mobility impairments: Upon request, an accommodation can include the following:
  - a. ADA accessible facilities, including ramps and elevators (if needed), to access the Boardroom or other locations where public meetings are being held.

Note that certain First 5 Orange County meetings are streamed electronically and permit remote public participation. Each meeting's agenda notice outlines the public access for that particular meeting.

**B. Process for Other Accommodations**

Individuals who are deaf or hard of hearing, who are blind or have low vision, have mobility impairments, or have any other disability, may also request accommodations other than those readily available using the process outlined below. Accommodations should be requested as early as possible as additional time may be required in order to provide the requested accommodation. Note that an accommodation will be considered to be unreasonable and will not be provided if it imposes undue financial or administrative burdens on First 5 Orange County or requires a fundamental alteration in the nature of a program. If a requested accommodation is unreasonable, First 5 Orange County will offer an alternative accommodation that is reasonable, if possible.

**1. Process to request additional accommodation:** A request for an accommodation other than those listed above may be made as follows:

- a.** Individuals are encouraged to submit a reasonable accommodation request as soon as possible, but no less than 48 hours prior to the meeting for which an accommodation is requested. A request can be submitted by an individual with a disability or on behalf of another person, with permission.
- b.** A request can be submitted orally or in writing to First 5 Orange County at any of the following:
  - (1)** Telephone: (714) 834-5310
  - (2)** Email Address: [First5OC@cfcoc.ocgov.com](mailto:First5OC@cfcoc.ocgov.com)
  - (3)** Mailing Address: First 5 Orange County, 1505 East 17<sup>th</sup> Street, Suite 230, Santa Ana, CA 92705
- c.** A request for an accommodation must include the following information:
  - (1)** *Identify the proposed accommodation.* The request must include the type of accommodation sought, and how the accommodation will enable access and participation in the meeting. The specific impairment does not need to be disclosed. Instead, a general statement of explanation of the type of need will suffice. A letter from a physician that the requested accommodation is required for access and participation in the meeting can also be submitted but is not required. Any information submitted to First 5 Orange County is subject to the California Public Records Act, Government Code Section 7920.000 et seq.
  - (2)** *Contact information.* The request must include current contact information to enable First 5 Orange County to respond in a timely manner. This can be a mailing address, email address, or telephone number, for example. Note that if only a mailing address is provided, the request will need to be submitted early enough that a mailed response can be timely provided.
  - (3)** *Identify the meeting where the additional accommodation is requested.* The request must specify the specific meeting(s) where the accommodation is requested.

**2. Procedures for First 5 Orange County Staff:** Once First 5 Orange County staff has received a request for an additional accommodation, the following procedures will apply:

- a.** Any First 5 Orange County staff member who receives, or believes they may have received, an accommodation request will promptly forward the request and the requestor's contact information to Executive Assistant, who shall contact Commission Counsel to assist in the review and response to the request.

- b.** First 5 Orange County will provide a response to the requester in a timely manner and in writing, if that is reasonably practicable prior to the start of the meeting. If a written response cannot be provided, First 5 Orange County will notify the requester orally. First 5 Orange County staff will document requests and responses provided orally. Responses shall identify whether the accommodation is granted or denied, or if an alternative will be provided. The response must also provide any instructions necessary for the accommodation to be accessed. If an accommodation request is denied, the response must be in writing and identify the grounds for denial.
- c.** Any doubt regarding whether a request is reasonable and feasible should be resolved in favor of accommodations. Staff shall make reasonable efforts to communicate with requestors to obtain clarifications or to discuss whether alternative accommodations will be viable.



**DATE:** September 22, 2023  
**TO:** First 5 Orange County  
**FROM:** Kimberly Goll, President/CEO



**ACTION:** Adopt Resolution Approving Amendments to the Conflict of Interest Code

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**SUMMARY:**

The Political Reform Act requires every agency to adopt a conflict of interest code that identifies all officials and employees within the agency who make governmental decisions based on the positions they hold. The individuals in designated positions must disclose their financial interests as specified in the agency's conflict of interest code. The Act also applies to consultants who make, or participate in making, governmental decisions. This item requests an amendment to First 5 Orange County's Conflict of Interest Code to require consultants to file original Statements of Economic Interests (Form 700) with the Commission Clerk of the Board.

**DISCUSSION:**

The Orange County Board of Supervisors is the code reviewing body for County boards and commissions, which includes the First 5 Orange County commission. Their responsibilities include the review and approval of local agency conflict of interest codes and amendments. The amendments are processed through the eDisclosure System.

Amendments are requested to permit consultants to file Form 700 statements directly with the Commission Clerk of the Board. Previously, only designated employees filed original statements with the Commission Clerk, and consultants filed originals with First 5 Orange County staff. This item requests approval for consultants to be able to file directly with the Commission Clerk along with the designated employees.

Approving this change would also necessitate a change to First 5 Orange County Policy No. 7.05 – Conflict of Interest to ensure that First 5 Orange County's internal policies are consistent with the amended Conflict of Interest Code. As such, this item also seeks approval of a revised Policy No. 7.05.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The proposed actions have been specifically reviewed in relation to First 5 Orange County's Strategic Plan and are consistent with its goals.

**PRIOR COMMISSION ACTIONS:**

- December 2022 – Adopted resolution approving the amended Conflict of Interest Code
- October 2020 – Adopted resolution approving the amended Conflict of Interest Code
- December 2019 – Adopted resolution approving the amended Conflict of Interest Code
- October 2018 – Adopted resolution approving the amended Conflict of Interest Code

- August 2018 – Received report confirming the status of the Conflict of Interest Code
- September 2016 – Adopted resolution approving the amended Conflict of Interest Code
- September 2014 – Adopted resolution approving the amended Conflict of Interest Code
- October 2012 – Received report confirming the status of the Conflict of Interest Code
- November 2011 – Adopted Resolution approving amended Conflict of Interest Code to reflect the new name for the Community Advisory Committee
- November 2010 – Adopted Resolution approving amended Conflict of Interest Code
- May 2008 – Approved the amended Conflict of Interest Code for the 2008 Conflict of Interest Code Biennial Review

**RECOMMENDED ACTIONS:**

1. Adopt resolution (Attachment 1) approving the amended Conflict of Interest Code
2. Approve revised Policy No. 7.05 – Conflict of Interest (Attachment 2)

**ATTACHMENT:**

1. Resolution
2. Revised Policy No. 7.05 – Conflict of Interest

**CONTACT:** Kim Goll

**CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

**RESOLUTION NO. 18-\_\_\_\_\_ C&FC**

**October 4, 2023**

**A RESOLUTION OF THE CHILDREN AND FAMILIES  
COMMISSION OF ORANGE COUNTY AMENDING THE  
CONFLICT OF INTEREST CODE AS REQUESTED BY THE  
CLERK OF THE BOARD OF SUPERVISORS**

**WHEREAS**, the Political Reform Act of 1974, Government Code Section 81000, et seq., (“the Act”), requires a local government agency to adopt a Conflict of Interest Code pursuant to the Act; and

**WHEREAS**, the Children and Families Commission of Orange County has previously adopted a Conflict of Interest Code and that Code now requires updating; and

**WHEREAS**, amendments to the Act have in the past and in the foreseeable future will require conforming amendments to be made to the Conflict of Interest Code; and

**WHEREAS**, the Fair Political Practices Commission has adopted a regulation, Title 2, California Code of Regulations, Section 18730, which contains terms for a standard model Conflict of Interest Code, which, together with amendments thereto, may be adopted by public agencies and incorporated by reference to save public agencies time and money by minimizing the actions required of such agencies to keep their codes in conformity with the Political Reform Act.

**NOW THEREFORE, BE IT RESOLVED:**

**Section 1** The terms of Title 2, California Code of Regulations, Section 18730 (Attachment A) and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference and, together with Exhibits A and B in which members and employees are designated and disclosure categories are set forth, constitute the Conflict of Interest Code of the Children and Families Commission of Orange County.

**Section 2** The provisions of all Conflict of Interest Codes and amendments thereto previously adopted by the Children and Families Commission of Orange County are hereby superseded.

**Section 3** The Filing Officer is hereby authorized to forward a copy of this Resolution to the Clerk of the Orange County Board of Supervisors for review and approval by the Orange County Board of Supervisors as required by California Government Code Section 87303. Subject to approval by the Orange County Board of Supervisors, it is intended that this Resolution become operative October 4, 2023.

The foregoing resolution was passed and adopted by the following vote of the Children and Families Commission of Orange County on October 4, 2023 to wit:

AYES Commissioners: \_\_\_\_\_

NOES: Commissioner(s): \_\_\_\_\_

EXCUSED: Commissioner(s): \_\_\_\_\_

ABSTAINED: Commissioner(s) \_\_\_\_\_

\_\_\_\_\_  
CHAIR

STATE OF CALIFORNIA )  
 )  
COUNTY OF ORANGE )

I, ROBIN STIELER, Clerk of the Commission of Orange County, California, hereby certify that a copy of this document has been delivered to the Chair of the Commission and that the above and foregoing Resolution was duly and regularly adopted by the Children and Families Commission of Orange County.

**IN WITNESS WHEREOF**, I have hereto set my hand and seal.

\_\_\_\_\_  
ROBIN STIELER

Clerk of the Commission, Children and Families Commission  
of Orange County, County of Orange, State of California

Resolution No: \_\_\_\_-23-C&FC

Agenda Date: October 4, 2023

Item No. \_\_\_\_



I certify that the foregoing is a true and correct copy of the Resolution adopted by the

Robin Stieler, Clerk of the Commission

By: \_\_\_\_\_  
Deputy

## **CONFLICT OF INTEREST CODE FOR THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

The Political Reform Act, Government Code Sections 81000, et seq., requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission has adopted a regulation (2 Cal. Code of Regs. Section 18730) which contains the terms of a standard Conflict of Interest Code, which may be incorporated by reference in an agency's code. After public notice and hearing it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Exhibits designating officials and employees and establishing disclosure categories shall constitute the Conflict of Interest Code of the Children and Families Commission of Orange County.

### **DESIGNATED EMPLOYEES**

Designated employees and consultants shall file Statements of Economic Interests with the Clerk of the Orange County Board of Supervisors who will make the statements available for public inspection and reproduction (Government Code Section 81008).

### **GOVERNMENT CODE SECTION 87200 FILERS**

Public officials enumerated in Government Code Section 87200, including officials who manage public investments as defined by 2 California Code of Regulations Section 18700.3(b), are NOT subject to the Commission's code, but are subject to the disclosure requirements of the Act (Government Code Section 87200, et seq.). [Regs. §18730(b)(3)] These positions are listed here for informational purposes only.

For purposes of the Commission's Code, the positions listed below are Commission officials enumerated in Government Code Section 87200:

President/CEO

Commission Counsel

These positions shall also file original Statements of Economic Interests with the Clerk of the Orange County Board of Supervisors.

The disclosure categories and requirements for these positions are set forth in Article 2 of Chapter 7 of the Political Reform Act, Government Code Section 87200, et seq. They generally require

the disclosure of interests in real property in the agency's jurisdiction, as well as investments, business positions and sources of income (including gifts, loans and travel payments).



**CONFLICT OF INTEREST CODE FOR THE  
CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY  
LIST OF DESIGNATED POSITIONS**

<b><u>Designated Positions</u></b>	<b><u>Disclosure Category</u></b>
Commissioners	OC-48
Alternate Commissioners	OC-48
Members of the Commission Technical Advisory Committee	OC-48
Vice President Learning and Integration	OC-48
Vice President Health Systems and Family Resilience	OC-48
Director of Partnerships and Government Affairs	OC-48
Director of Early Education and Community Outreach	OC-48
Director of Finance and Administration	OC-48
Government Affairs Manager	OC-48
Program Officer	OC-48
Data Analyst	OC-48
Consultants (*See Note below)	OC-48

**\*Consultants shall be included in the list of designated employees and shall disclose pursuant to disclosure category OC-48 in the code subject to the following limitation:**

The President/Chief Executive Officer of the Commission (or the Commission, as requested by the President/CEO) may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties or provide certain services that are limited in scope, term of service, or amount of compensation and that do not involve direct participation in the making of decision(s) which may foreseeably have a material financial effect on a personal financial interest, and thus such consultant is not required to comply with the disclosure requirements set forth herein. Such written determination by the President/CEO (or, as applicable, the Commission) shall explain the basic reason(s) for excluding a particular consultant. The President/CEO’s (or, as applicable, the Commission’s) determination is a public record and shall be retained for public inspection by the Commission filing officer with an information copy provided to the Commissioners.

**CONFLICT OF INTEREST CODE FOR THE  
CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY  
DISCLOSURE CATEGORIES / DESCRIPTIONS**

<b><u>Disclosure Category</u></b>	<b><u>Disclosure Description</u></b>
OC-48	All interests in real property in Orange County, as well as all investments in, business positions with, and income (including gifts, loans, and travel payments) from sources engaged in the direct or indirect provision of early development services to or for children. As used herein, “early development services” means the services, which the Commission is authorized by statute to promote, support or improve.

## **POLICIES AND PROCEDURES**

### **No: 7.05**

### **CONFLICT OF INTEREST**

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#### **PURPOSE**

The purpose of this policy is to set forth the requirement for filing State Conflict of Interest forms by First 5 Orange County Children and Families Commission's Officials, staff, and consultants. In accordance with the County of Orange ("County") Ordinance, the members of First 5 Orange County are required to file an annual Form 700 Statement of Economic Interests ("Form 700") as required by the California State Fair Political Practices Commission. The objective of filing the Form 700's is to prevent the occurrence of conflicts between personal business and official business conducted by Commission officials and staff.

#### **POLICY STATEMENT**

It is the policy of First 5 Orange County that all Commission officials and staff are in compliance with County Ordinance 04-010, by properly completing all required information on the Form 700's, including the full disclosure of certain personal financial interests. It is the policy of the Commission that all staff be subject to the items contained in the Conflict of Interest Procedure.

#### **PROCEDURE**

##### *Clerk of the Board*

Per the Support Services Agreement between the County and First 5 Orange County, the Orange County Clerk of the Board (COB) is the designated filing officer responsible for annually distributing and retaining the Form 700's for First 5 Orange County staff and consultants who are designated to file the forms per First 5 Orange County's Conflict of Interest Code. The COB is authorized to impose a fine of \$10 per day for each day past the deadline that a person files the Form 700, including Assuming Office and Leaving Office Statements.

##### *First 5 Orange County Officials and Staff*

The following individuals are required to file an annual Form 700, either by the Political Reform Act or First 5 Orange County's Conflict of Interest Code, as of the most recent revision stated in the Policy (subject to change per Conflict of Interest Code from time to time):

- Commissioners
- Alternate Commissioners
- Technical Advisory Committee Members
- The President/CEO
- Commission Vice Presidents
- Other designated employees as specified in the Conflict of Interest Code
- Legal Counsel for the Commission
- Consultants (as deemed appropriate)

##### *Assuming Office and Leaving Office Statements*

All required filers shall file an Assuming Office Statement with the COB within 30 days after assuming their position. A required filer who leaves a designated position shall file a Leaving Office Statement with the COB within 30 days after leaving the designated position.

For purposes of this Policy, a consultant assumes a designated position when his or her contractual duties require the filing of a Form 700 pursuant to First 5 Orange County's adopted Conflict of Interest Code. This could be on the date the contract begins or the date in which the consultant's contractual duties are modified in such a manner that requires the consultant to file a Form 700, in accordance with the Conflict of Interest Code. Each month, the COB shall distribute a list to First 5 Orange County staff of the designated consultants that are required to file annual Form 700's, and First 5 Orange County staff shall evaluate that list and notify COB if any consultants should file Assuming Office or Leaving Office Statements based upon their contract term or contractual duties.

#### *Annual Statements*

The COB sends electronic notifications to filers each year in January with a link to file the Annual Form 700 electronically. All filers are required to return the Statement of Economic Interest form by the stated deadline, usually in early April of the same year.

**DATE:** September 8, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Receive Report on Systems Change Efforts

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**SUMMARY:**

Each year, First 5 Orange County facilitates the Systems Change Questionnaire with funded partners and collaboratives in which we participate to help measure progress in creating positive change within systems serving children and families. This agenda item reports on the findings from this year's Systems Change Questionnaire.

**DISCUSSION:**

For many years, First 5 Orange County's primary measures of progress were based on Work Plans of various funded partners, tracking activities such as numbers of home visits, parent education classes, educational materials distributed, and shelter bed nights.

While we continue to track these types of services provided through the programs we fund, when we updated our Strategic Plan in 2021, we expanded our progress measures to include a population-level perspective. Population level measures show how OC's children are faring broadly, including percentage of children ready for kindergarten, percentage of children with well-child visits and developmental screens, percentage of children with Adverse Childhood Experience (ACE) scores of 4 or more, availability of infant and toddler child care, and rate of substantiated child abuse and neglect. These measures reflect a countywide picture, and while not attributable to a single organization, we can track overall trends in an area we are focused on, and contributing to, through our funded programs and system change work. Since these measures show incremental trends, we currently use a 3-year cycle for population level reporting.

In addition to programmatic progress and population level data, we are interested in understanding our impact on improving the overall early childhood system in the county. To do so, we developed the Systems Change Questionnaire, which covers key areas of systems work such as shared vision and goals; being responsive to parent and community voices and empowering them to be champions; sharing data to improve coordination, services, and service delivery; and leveraging funds for early childhood.

Several of our funded programs and collaboratives that we support complete this questionnaire once a year, allowing us to better understand how our joint work is positively helping to align and improve the systems that serve Orange County's youngest children. The questionnaire asks partners and collaboratives to rate themselves on whether they have "not yet started," are "just getting started," are "making progress," or are "well on their way" towards a series of aspirational statements. Attachment 1 provides sample questionnaires for funded partners and collaboratives.

We are in the third year of using the questionnaire to deepen our understanding about how systems work develops. We began implementing the questionnaire with school district partners and phased in additional funded partners and collaboratives over time. Below are highlights from the Systems Change Questionnaire results.

### School Districts

As our earliest adopter of the Systems Change Questionnaire, the school districts have three years' worth of data for comparison. There has been a positive shift in the number of school districts that are active participants within an initiative or collaborative focused on early childhood. The number of districts that are well on their way or making progress in this area more than doubled (from 11 to 23 districts), and none of the districts are now indicating that they have not started work in this area. Additionally, more districts are well on their way to making financial investments in early childhood beyond First 5 OC funding, from six districts in 2020 to 15 districts in 2023. Also, the number of districts well on their way in initiating innovative and best practices to address the needs and gaps in the county's early childhood system of care more than quadrupled, from four districts in 2020 to 17 districts in 2023. Attachment 2 is a summary of results from all 25 school districts.

### Collaboratives

Completing the Systems Change Questionnaire is a process of reflection and brainstorming and is a facilitated conversation with our partners. We have facilitated the questionnaire with collaboratives for which we provide funding as well as those in which we participate but do not fund. Several of these collaboratives are standalone, with unique visions and goals, so they are not comparable to each other like the school districts.

After school districts, we rolled out the questionnaire with our four Engaged Neighborhoods and Detect & Connect OC. Since the four Engaged Neighborhood collaboratives share a common theory of change, their findings can be compared. All four Engaged Neighborhood collaboratives are making progress on connecting families (compared to FY 21-22, when three collaboratives were still just getting started). One collaborative is well on its way to having a data sharing agreement, another is making progress and two are just getting started. This is an improvement from last year, when two were not yet started and two were just getting started. Attachment 3 provides a summary of results from the four Engaged Neighborhood collaboratives.

The Detect & Connect OC collaborative completed questionnaires in both FY 2021-22 and 2022-23. The recent results are interesting and provide insight into how collaboratives may answer questions differently as they mature, as well as the importance of timing for completing the questionnaire. In three areas (having a common vision/mission, common goals/objectives, and shared measurement), the collaborative appears to have reversed progress. But the move from "well on our way" to a lower status of "making progress, just getting started or not started" shows the collaborative giving careful thought to the questions and assessing themselves accordingly on how they are working toward system improvement. For example, last year, Detect & Connect OC indicated they were well on their way for having a common vision/mission. This year, they bumped themselves down to "making progress" on a common stated vision/mission, noting that "we can be doing more as a collaborative to share and promote the shared vision and Detect & Connect OC as a whole." Similarly, they bumped themselves down on shared measurement, from "well on our way" to "not yet started" as they recognized they have significant work to do in this area. In the area of common goals/objectives, they noted that they have reconfigured subcommittees from five to three and are currently in the process of coming up with one to two specific objectives for each subcommittee for this year. Therefore, they moved to "not yet started" on this measure. Last year when the questionnaire was completed, the work of identifying



objectives was complete and so they were “well on their way.” This is an example of the importance of timing of completing a questionnaire to understanding progress. In the remaining areas, Detect & Connect OC was at the same or higher level of progress, as shown on Attachment 4.

For two collaboratives, we have only one baseline data point: the Early Childhood Mental Health Collaborative;<sup>1</sup> and the Home Visiting Collaborative. These collaboratives will continue to complete the questionnaire and we will include highlights from their progress in the future. We share the reports back with each funded partner or collaborative for their use, learning and insight.

As we work over the next year to refresh our Strategic Plan, we will include a review of all progress measures, including at the program, system, and population levels, to ensure they remain relevant.

#### **STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended action presented in this staff report has been reviewed in relation to the Strategic Plan and is consistent with applicable goals. This agenda item does not include a funding request.

#### **PRIOR COMMISSION ACTIONS:**

- August 2022 – Received Update on Systems Change Efforts
- August 2021 – Received Report on Measuring Systems Change

#### **RECOMMENDED ACTION:**

Receive update on systems change efforts.

#### **ATTACHMENTS:**

1. Sample Systems Change Questionnaires
2. School District Systems Change Questionnaire Findings
3. Engaged Neighborhood Systems Change Questionnaire Findings
4. Detect & Connect OC Systems Change Questionnaire Findings

#### **CONTACT:**

Lisa Burke

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<sup>1</sup> While an SCQ was completed for Early Childhood Mental Health Collaborative in FY 2021-22, with the launch of Start Well, there was a reset so that responses from FY 2022-23 cannot be compared with FY 2021-22.



## Systems Change Questionnaire (Collaborative)

### Introduction:

In recent years, First 5 Orange County has begun funding “systems change” work. Rather than providing direct services, systems change efforts strive to shift the conditions that are holding stubborn problems in place. An example of systems change work is the recently completed Child Care Landscape Analysis and our work to develop stronger partnerships with child care providers, legislators, the business community, and parents. The goal of these efforts is to improve Orange County’s child care delivery system and inspire more champions for young children and families.

Similarly, First 5 Orange County seeks to facilitate discussion with community collaboratives about how we can collectively create seamless systems of care for young children and families. We believe four effective strategies to drive systems change include: getting involved early, elevating equity, empowering champions, and aligning systems of care, and that making progress in these areas will greatly benefit Orange County’s children and families.

Measuring progress on this work will be more qualitative than quantitative. Systems work does not have the same type of measurement as traditional program analysis, which quantifies outputs or outcomes like the number of children served, the number of home visits conducted, or the number of children who are 100% immunized by the end of the program we are funding. We are asking collaboratives to complete the short Systems Change Questionnaire, attached, to better understand how our joint work is positively helping to shift systems of care, and to create actions to move toward more seamless systems. We will share the results of the questionnaires back with you.

If you have any questions about this questionnaire, please feel free to reach out to your program lead or to Lisa Burke, First 5 Orange County, at (714) 277-5878 or [lisa.burke@cfcoc.ocgov.com](mailto:lisa.burke@cfcoc.ocgov.com). Thank you for your continued support.

## Systems Change Questionnaire (Collaborative)

Name of Collaborative: \_\_\_\_\_ Date Questionnaire Completed: \_\_\_\_\_

Contact person: \_\_\_\_\_ Contact Email: \_\_\_\_\_

**Please review the aspirational statements below and indicate to what extent your organization has reached each of these levels. Use the Comments column to provide details that support progress made on each statement.**

Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
<b>Elevating Equity by Engaging Families</b>					
1. <b>Our collaborative seeks, incorporates and is responsive to voices of community residents who represent the needs of families raising young children</b>	<input type="checkbox"/> Families are not yet active participants in our collaborative	<input type="checkbox"/> We have <u>identified</u> strategies for families to participate in our collaborative (e.g., time of meetings, language/translation, support for families)	<input type="checkbox"/> We have <u>implemented</u> strategies for families to participate in our collaborative	<input type="checkbox"/> Families are part of the collaborative's decision-making process	Note for future: evolve language to be more strengths-based, prevention focused? Caution to not get so broad that it doesn't relate to the collaborative
<b>Aligning Systems of Care</b>					
2. In general, our collaborative works together to create a seamless system of supports for families by having...					
<b>2a. A common, stated vision and/or mission</b>	<input type="checkbox"/> Our collaborative does not have a common, stated vision and / or mission	<input type="checkbox"/> Our collaborative has begun developing a common, stated vision and / or mission	<input type="checkbox"/> Our collaborative has ratified a common, stated vision and / or mission	<input type="checkbox"/> Our collaborative is actively promoting our common, stated vision and / or mission	
<b>2b. Common, stated goals and/or objectives</b>	<input type="checkbox"/> Our collaborative does not have common, stated goals and/or objectives	<input type="checkbox"/> Our collaborative has begun developing common, stated goals and/or objectives	<input type="checkbox"/> Our collaborative has ratified common, stated goals and/or objectives	<input type="checkbox"/> Our collaborative is implementing activities to achieve our stated goals and/or objectives	
<b>2c. Shared measurement regarding progress towards common goals and vision</b>	<input type="checkbox"/> Our collaborative does not have shared measurement towards	<input type="checkbox"/> Our collaborative has developed shared measurement metrics and tools	<input type="checkbox"/> Our collaborative is collecting and/or evaluating data to support shared	<input type="checkbox"/> Our collaborative is using our shared measurement data and results to drive our work	

Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
	common goals and vision		measurement metrics and tools	going forward (e.g., identifying strategies to strengthen our impact)	
<b>2d. Data sharing is in place to improve coordination of services among programs</b>	<input type="checkbox"/> No data sharing has occurred	<input type="checkbox"/> Partners have begun to share data with the group to advance our shared work and identify data gaps and/or barriers	<input type="checkbox"/> Tools or processes have been identified/developed to share data to address gaps and barriers	<input type="checkbox"/> New data sharing tools and processes are being consistently and systematically implemented	
3. Our collaborative is leveraging funding for early childhood					
<b>3a. A commitment to family well-being is demonstrated by the joint, efficient, creative use of <u>existing</u> funding or leveraging of currently funded programs</b>	<input type="checkbox"/> Organizations are not working together to leverage funding/funded programs to support families	<input type="checkbox"/> Organizations have met and are exploring ways of leveraging funding/funded programs to support families	<input type="checkbox"/> Organizations have developed a plan to leverage funding streams or funded programs to support families	<input type="checkbox"/> Existing funds/funded programs are leveraged to support families	
<b>3b. There is commitment to advancing early childhood demonstrated by joint efforts to secure <u>new</u> funding</b>	<input type="checkbox"/> Organizations are not working together to identify new funding for early childhood	<input type="checkbox"/> Organizations have met and are exploring new funding streams to support early childhood	<input type="checkbox"/> Organizations have developed a plan to secure new funding streams to support early childhood	<input type="checkbox"/> New funds are secured to support early childhood policies and programs	
<b>Empowering Champions</b>					
4. In general, our collaborative is making a commitment to early childhood and this collaborative's shared vision by...					
4a. Including representation of relevant systems/sectors with a focus on families and community leaders	We have not thought about or identified pertinent sectors	We have identified pertinent sectors that are affected and needed for this work	We have invited organizations and have a plan to engage	Pertinent organizations are at the table and are engaged, and relevant systems are regularly reviewed and invited	

Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
4b. Providing collaborative partners with the tools/materials they need to promote our shared vision	Have not yet identified opportunities to promote our shared vision	We have identified opportunities and tools needed to promote our shared vision	We have co-created or are co-creating tools needed to promote our shared vision	We are using the tools and advancing our shared vision in the community	Example of tools (talking points, social media posts, op-ed, PPT presentation, infographic, etc.)
<b>Getting Involved Early</b>					
5. <b>Families are connected to resources as early as possible</b>	<input type="checkbox"/> Our collaborative has not yet begun to identify strategies to connect families to resources as early as possible	<input type="checkbox"/> Our collaborative has begun to identify strategies to connect families to resources as early as possible	<input type="checkbox"/> Our collaborative has identified strategies to connect families to resources as early as possible	<input type="checkbox"/> Our collaborative is implementing strategies to connect families to resources as early as possible	Potentially, some groups like ECMH, could help us here – as them – what is the systems question(s) that would be good to be talking about and tracking over time

**Questions for individual organizations that are members of the collaborative:**

<b>Our organization is an active participant in this collaborative</b>	<input type="checkbox"/> Our organization is committed to staying connected and aware of the work of the collaborative	<input type="checkbox"/> Our organization an active participant in this collaborative, with consistent participation in meetings, etc.	<input type="checkbox"/> Our involvement in this collaborative has informed our internal thinking and priorities around early childhood	<input type="checkbox"/> Our organization is engaged in active and strategic work focused on our shared vision (e.g., our organization shares data or work towards shared measures, or contributes to the work product within a strategic initiative of the group)	Use the polling tool in Zoom or other platform and get percentages for the response.
Our organization uses its voice and initiatives to advance the collaborative's shared vision	<input type="checkbox"/> We have not yet shared externally that we are part of this collaborative and support the shared vision	<input type="checkbox"/> We elevate our work through this collaborative in our initiatives and/or external messaging	<input type="checkbox"/> We have committed to leveraging our influence and being an active champion externally for our shared vision	<input type="checkbox"/> We use our influence to advance the shared vision of this collaborative (e.g., messaging/op-ed; practice change within our organization)	

### Collaborative Participants

Name of Collaborative:		
Name	Organization	Sector



**Sectors:**

- Business
- Child Care
- Civic Organization
- Community Service Organization
- Community Initiative
- Education
- Faith-based Organization
- Funder
- Health
- Justice System
- Media
- Political Organization
- Recreational Club/Organization
- Social Service Organization



## Systems Change Questionnaire (Program)

### Introduction:

In recent years, First 5 Orange County has begun funding “systems change” work. Rather than providing direct services, systems change efforts strive to shift the conditions that are holding stubborn problems in place. An example of systems change work is the recently completed Child Care Landscape Analysis and our work to develop stronger partnerships with child care providers, legislators, the business community, and parents. The goal of these efforts is to improve Orange County’s child care delivery system and inspire more champions for young children and families.

Similarly, First 5 Orange County seeks to facilitate discussion with funded partners about how we can collectively create seamless systems of care for young children and families. We believe four of the most effective strategies to drive systems change include: getting involved early, elevating equity, empowering champions, and aligning systems of care, and that making progress in these areas will greatly benefit Orange County’s children and families.

Measuring progress on this work will be more qualitative than quantitative. Systems work does not have the same type of measurement as traditional program analysis, which quantifies outputs or outcomes like the number of children served, or the number of children who are 100% immunized by the end of the program we are funding. We are asking our partners to complete the short Systems Change Questionnaire, attached, to better understand how our joint work is positively helping to shift systems of care, and to create actions to move toward more seamless systems. We will share the results of the questionnaires back with you and provide TA support as desired.

For those organizations that completed a questionnaire (Strategic Directions Questionnaire) as part of last year’s pilot, you may notice that some of the headings/questions are slightly altered to align with First 5’s updated Strategic Plan. If you have any questions about this questionnaire, please feel free to reach out to your program lead or to Lisa Burke, First 5 Orange County, at (714) 277-5878 or [lisa.burke@cfcoc.ocgov.com](mailto:lisa.burke@cfcoc.ocgov.com). Thank you for your continued support.

# Systems Change Questionnaire (Program)

Organization Name: \_\_\_\_\_ Program Name: \_\_\_\_\_

F5OC Contract #: \_\_\_\_\_ Date Questionnaire Completed: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Contact Email: \_\_\_\_\_

***Please review the aspirational statements below and indicate to what extent your organization has reached each of these levels. Use the Comments column to provide details that support progress made on each statement.***

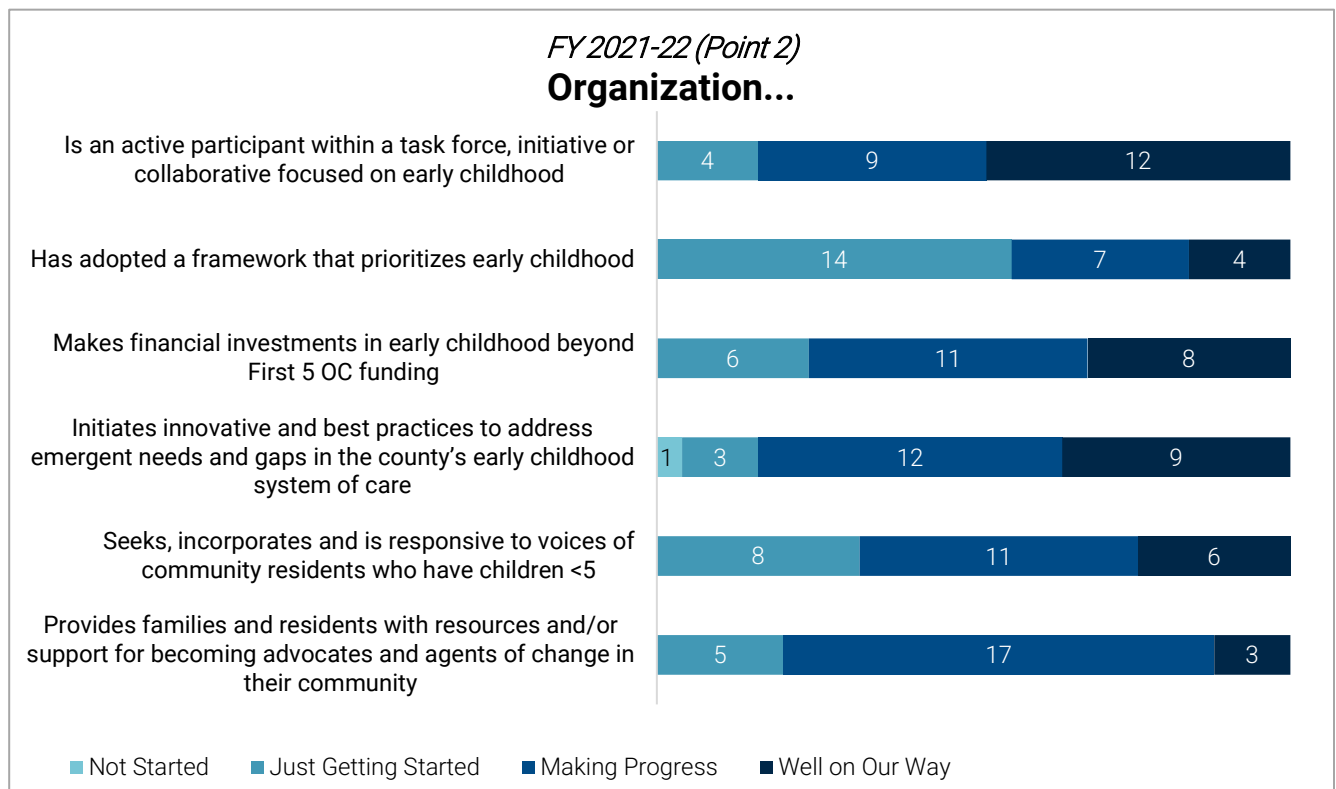
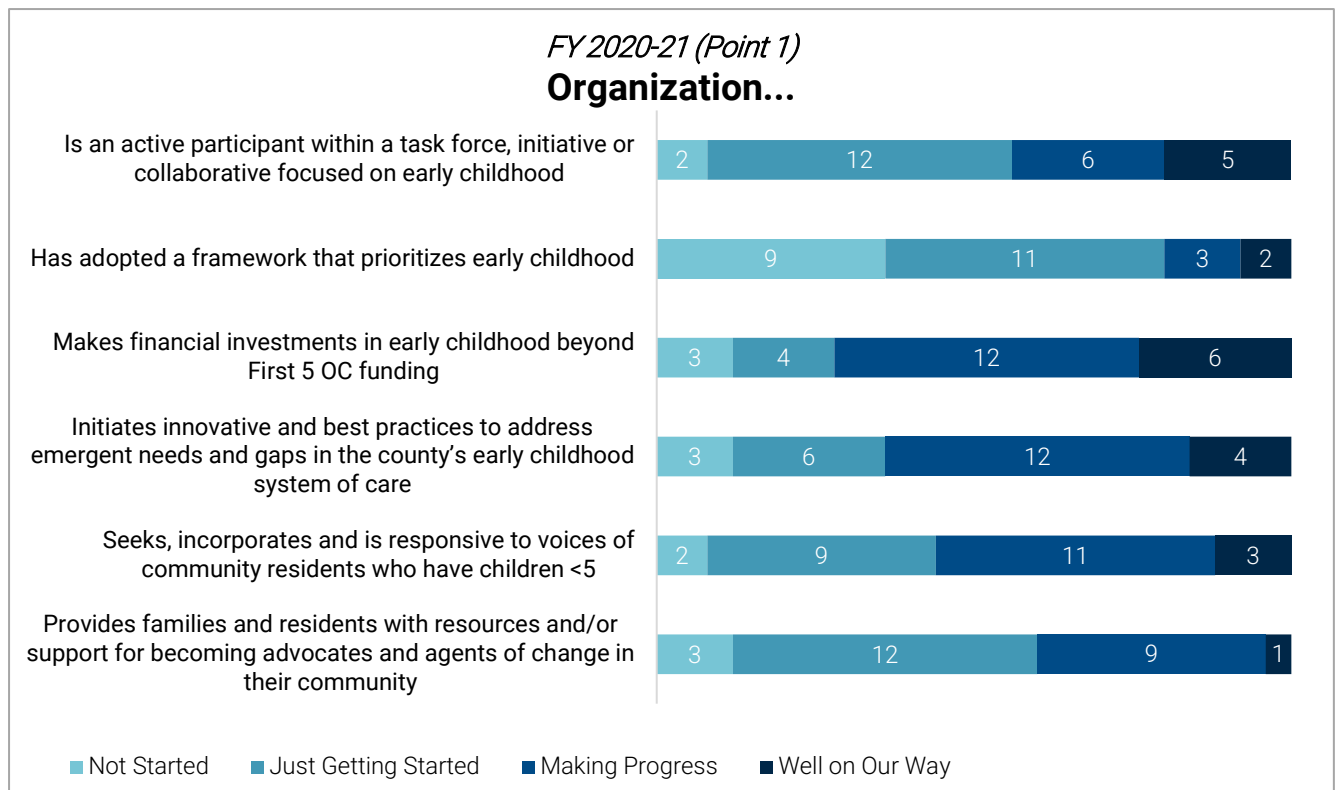
Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
<b>Getting Involved Early</b>					
1. Our organization has made a commitment to early childhood:					
1a. Our organization is an active participant within a taskforce, initiative or collaborative focused on early childhood	<input type="checkbox"/> Our organization is not yet part of an early childhood group	<input type="checkbox"/> Our organization has identified a group and are in process of becoming members or are in process of creating a group	<input type="checkbox"/> Our organization attends meetings with a group regularly	<input type="checkbox"/> Our organization is engaged in active and strategic work within an early childhood group (e.g., our organization shares data or work towards shared measures, or contributes to the work product within a strategic initiative of the group)	
1b. Our organization has adopted guidelines that prioritize positive early childhood outcomes, which are used during development of organizational goals, policies, programming, and communications. An example of such guidelines is the Early Childhood Policy Framework ( <a href="https://earlychildhoodoc.org/">https://earlychildhoodoc.org/</a> )	<input type="checkbox"/> Our organization has not yet adopted guidelines that prioritize early childhood	<input type="checkbox"/> Our organization has identified potential guidelines that prioritize early childhood	<input type="checkbox"/> Our organization has adopted guidelines that prioritize early childhood	<input type="checkbox"/> Our organization is actively applying guidelines that prioritize early childhood	

Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
<b>Getting Involved Early (cont.)</b>					
1c. Our organization makes financial investments in early childhood beyond First 5 OC funding	<input type="checkbox"/> Our organization does not yet make financial investments in early childhood	<input type="checkbox"/> Our organization has started meeting to identify potential investment strategies to sustain or enhance early childhood quality services	<input type="checkbox"/> Our organization has implemented an investment strategy to sustain or enhance early childhood quality services	<input type="checkbox"/> Our organization is implementing more than one investment strategy to sustain or enhance early childhood quality services	
1d. Our organization initiates innovative and best practices to address emergent needs and gaps in the county's early childhood system of care	<input type="checkbox"/> Our organization maintains standard service practices to address a local need, but is not currently growing or advancing those practices	<input type="checkbox"/> Our organization stays current on national trends, promising practices, and emerging local needs by engaging with early childhood research data, professional organizations, and stakeholders	<input type="checkbox"/> Our organization is pioneering at least one innovative or best practice to address an unmet need	<input type="checkbox"/> Our organization regularly implements and tests program quality improvements and/or new service models and tools to address unmet needs and produce better early childhood outcomes	

Desired System Change	Not Started	Just Getting Started	Making Progress	Well on our Way	Comments
<b>Elevating Equity by Engaging Families</b>					
2. Our organization seeks, incorporates and is responsive to voices of community residents who have children ages 5 and younger	<input type="checkbox"/> Our organization does not yet solicit feedback from residents	<input type="checkbox"/> Our organization seeks feedback from residents on their needs	<input type="checkbox"/> Our organization has begun incorporating feedback from residents into work	<input type="checkbox"/> Our organization is a partner with our residents	
3. Our organization provides families and residents (with children ages 5 and younger) with resources and/or support for becoming advocates and agents of change in their community	<input type="checkbox"/> Our organization does not yet support families in advocating for their community	<input type="checkbox"/> Our organization works with families to help them understand their communities' early childhood health, developmental and early learning systems	<input type="checkbox"/> Our organization supports families in identifying and prioritizing community needs related to early childhood	<input type="checkbox"/> Our organization has developed formal protocols to help families advocate for identified community needs related to early childhood	

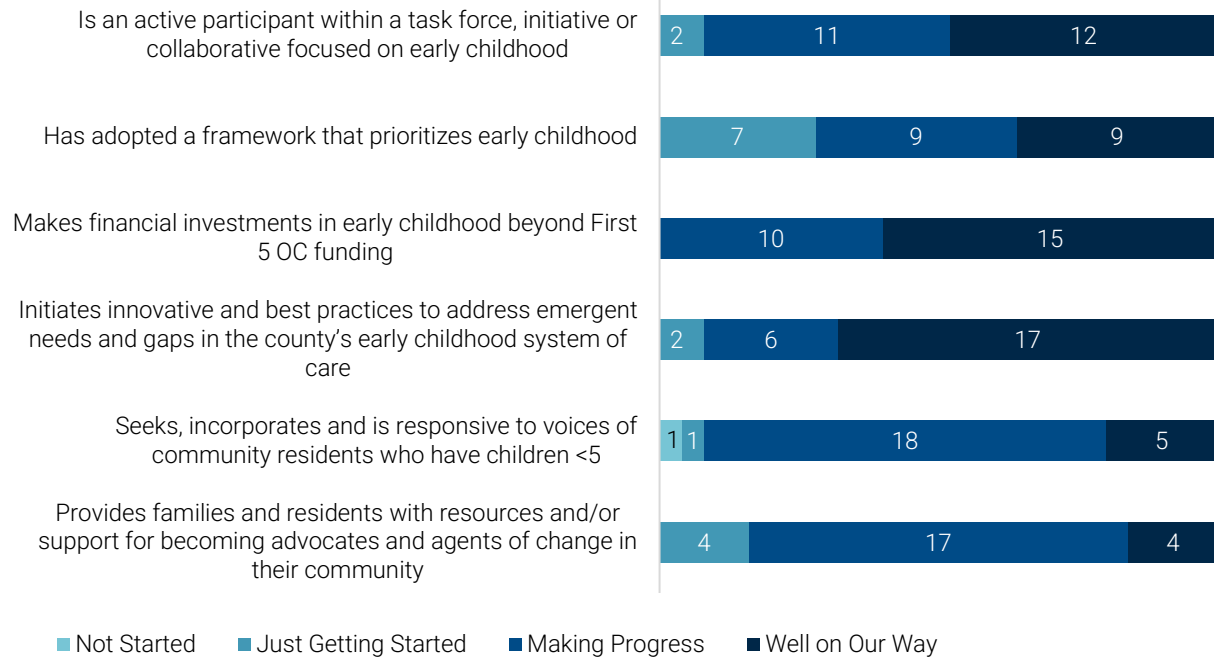
# Systems Change Questionnaire (SCQ)

## School District Partners, Points in Time Comparison



*FY 2022-23 (Point 3)*

### Organization...



### School District Partners (all 25 completed the SCQ)

- Anaheim Elementary School District
- Brea-Olinda Unified School District
- Buena Park School District
- Capistrano Unified School District
- Centralia School District
- Cypress School District
- Fountain Valley School District
- Fullerton School District
- Garden Grove Unified School District
- Huntington Beach City School District
- Irvine Unified School District
- La Habra City School District
- Laguna Beach Unified School District
- Los Alamitos Unified School District
- Lowell Joint School District
- Magnolia School District
- Newport-Mesa Unified School District
- Ocean View School District
- Orange Unified School District
- Placentia Yorba-Linda Unified School District
- Saddleback Valley Unified School District
- Santa Ana Unified School District
- Savanna School District
- Tustin Unified School District
- Westminster School District

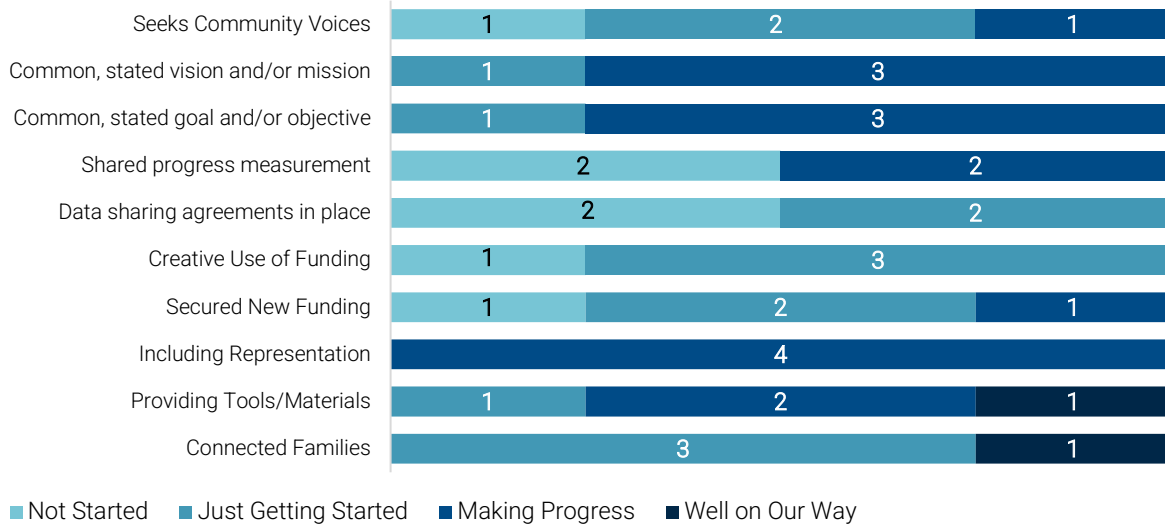


## Systems Change Questionnaire (SCQ)

### Engaged Neighborhoods, Points in Time Comparison

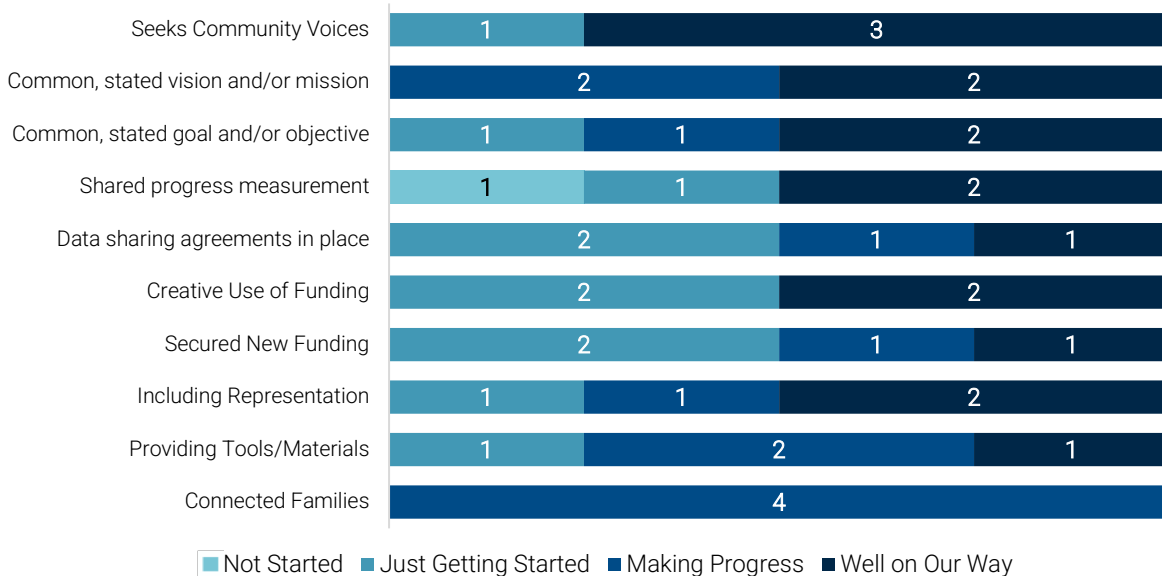
#### 2021-22 (Point 1)

##### Organization...



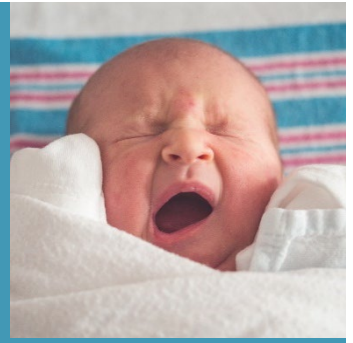
#### 2022-23 (Point 2)

##### Organization...





**FIRST5**  
ORANGE COUNTY



# Systems Change Questionnaire Summary

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Detect & Connect OC Collaborative

Fiscal Year 2022-23



August 29, 2023

## SYSTEMS CHANGE QUESTIONNAIRE DETECT & CONNECT OC COLLABORATIVE, FY 2022-23

Systems change efforts strive to shift the conditions that are holding stubborn problems in place. Focusing on systems change allows us to better coordinate and enhance the delivery of services to children and families—leading to better outcomes for all. Creating seamless systems of care for children and families requires collective work, as no one entity can do it alone.

First 5 Orange County-supported collaboratives complete a questionnaire once a year. This allows us to better understand how our joint work is positively helping to elevate equity, align systems of care, and leverage funding. The questionnaire asks collaboratives to rate themselves on whether they have not yet started, are just getting started, are making progress, or are well on their way towards a series of aspirational statements.

### Overview of Responses:

Aspirational Statement	2021-2022	2022-2023
1. collaborative is responsive to voices of community residents	Making Progress	Making Progress
2. In general, our collaborative works together to create a seamless system of supports for families by having...		
2a. A common, stated vision and/or mission	Well on our Way	Making Progress
2b. Common, stated goals and/or objectives	Well on our Way	Just Getting Started
2c. Shared measurement—progress towards common goals and vision	Well on our Way	Not Started
2d. Data sharing agreements in place	Just Getting Started	Just Getting Started
3. Our collaborative is leveraging funding for early childhood...		
3a. Leverage funding with <u>existing</u> funding	Not Started	Just Getting Started
3b. Leverage funding through efforts to secure <u>new</u> funding	Not Started	Just Getting Started
4a. Have representation of systems/sectors with focus on families/leaders	Well on our Way	Well on our Way
4b. Provide collaborative partners with tools / materials to promote vision	Making Progress	Making Progress
5. Families connected to resources as early as possible	Well on our Way	Well on our Way

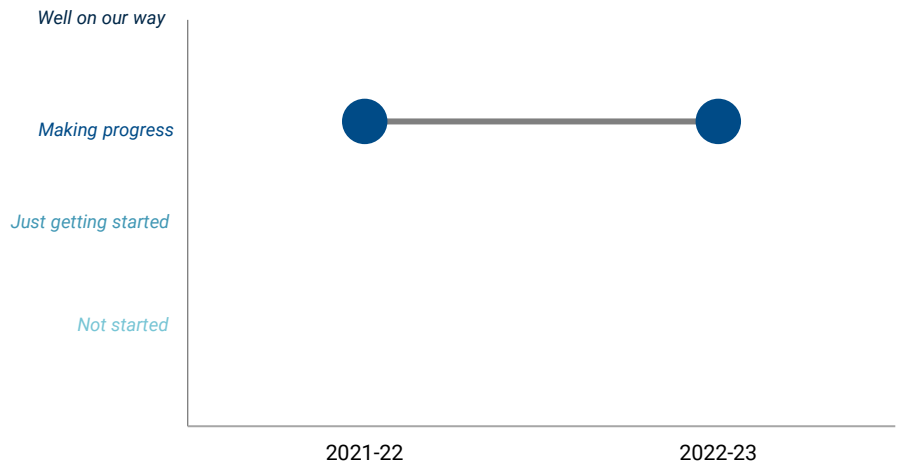
## Elevating Equity by Engaging Families

### 1. Our collaborative seeks, incorporates and is responsive to voices of community residents who represent the needs of families raising young children

#### Detect & Connect: **Making Progress**

**FY 22-23:** Our current strategy is that, as a collaborative, we do this through partners that each have their own family engagement mechanisms. There is interest among some collaborative partners to revisit this.

**FY 21-22:** Would like to hear from parents/caregivers directly in the future; Have discussion about parent involvement; Find a parent mentor of a parent group for this group that can bring greater perspective. We've outreached – what if we in-reach?



## Aligning Systems of Care

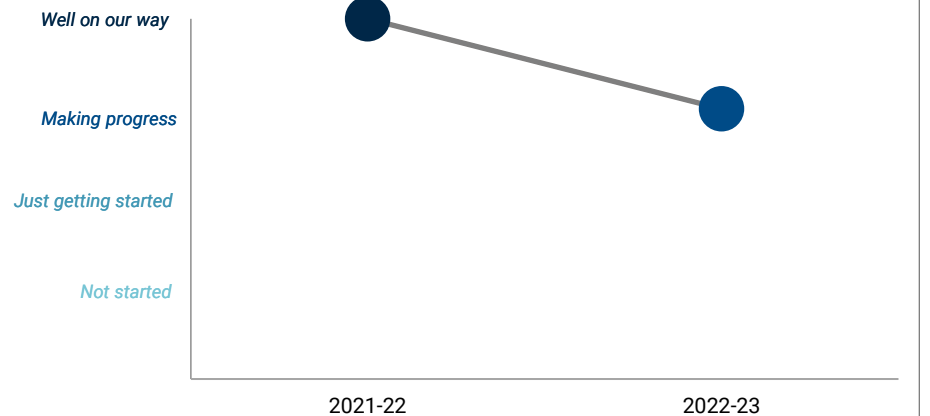
In general, our collaborative works together to create a seamless system of supports for families by having...

### 2a. A Common, Stated Vision and/or Mission

#### Detect & Connect: **Making Progress**

**FY 22-23:** The group agreed we should bring this to the Shared Messaging Working Group and see if we can be doing more as a collaborative to share and promote the shared vision and Detect & Connect OC as a whole.

**FY 21-22:** Many examples of this. Recent provider outreach through AAP as an example.



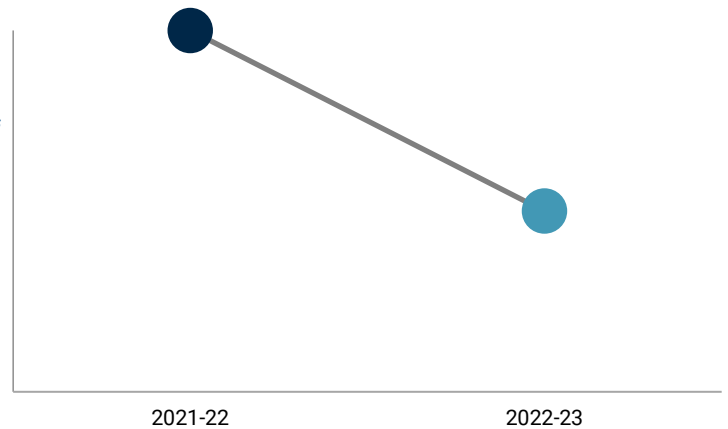
## 2b. Common, stated goals and/or objectives

### Detect & Connect: Just Getting Started

**FY 22-23:** We had these in place more but have just revised our working groups (consolidated from 5 to 3) so we are re-doing action plans at this time.

**FY 21-22:** We are implementing -- can create even more specific or elaborated work group goals.

Well on our way  
Making progress  
Just getting started  
Not started



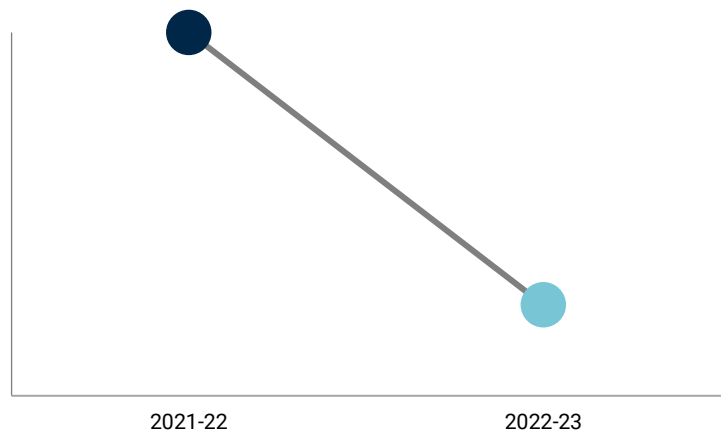
## 2c. Shared measurement regarding progress towards comm on goals and vision

### Detect & Connect: Not yet Started

**FY 22-23:** The group agreed we have more work to do here.

**FY 21-22:** We are using data to drive our initiatives but don't yet have the dashboard to monitor our ultimate outcomes; implications of CDC guidelines Dr. Taraman shared – e.g. avg age of diagnosis – broaden to time/age of referral to Regional Center/EarlyStart

Well on our way  
Making progress  
Just getting started  
Not started



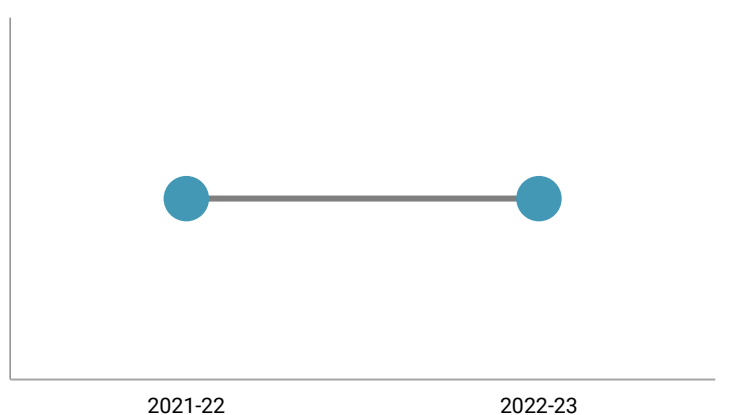
## 2d. Data sharing is in place to improve coordination of services among programs

### Detect & Connect: Just Getting Started

**FY 22-23:** In the same place as last year.

**FY 21-22:** In between the 2nd and 3rd Can do more to share metrics and increased shared understanding and metrics.

Well on our way  
Making progress  
Just getting started  
Not started



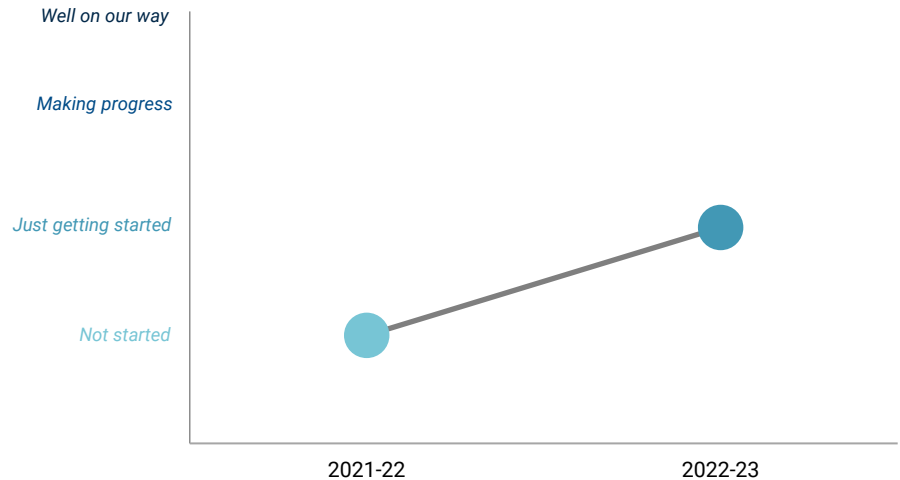
## Our collaborative is leveraging funding for early childhood...

### 3a. A commitment to family well-being is demonstrated by the joint, efficient, creative use of existing funding or leveraging of currently funded programs

#### Detect & Connect: Just Getting Started

**FY 22-23:** Wasn't previously the role of this group but we need to weave in sustainability and look at funding and role in advocating for funding. Who should be at table?

**FY 21-22:** Partners sharing their own time, data, expertise, resources to support the shared vision. Funding isn't this group's focus but how do we support others? Strategy conversation: what is the role of this group around funding e.g. advocacy role; Liason for...

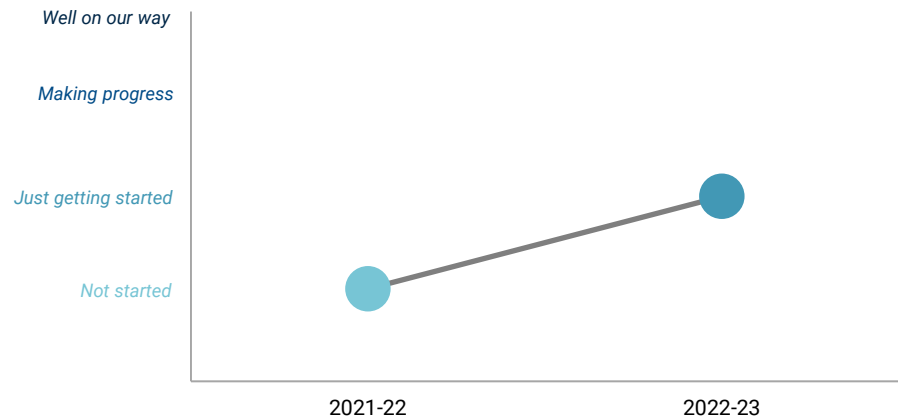


### 3b. There is commitment to advancing early childhood demonstrated by joint efforts to secure new funding

#### Detect & Connect: Just Getting Started

**FY 22-23:** How do we use our collective voice if we need to – policy, advocate together – for leveraging and new funding

**FY 21-22:** Not yet this group's role. See comment above.



## Empowering Champions

In general, our collaborative is making a commitment to early childhood and this collaborative's shared vision by...

### 4a. Including representation of relevant systems/sectors with a focus on families and community leaders

#### Detect & Connect: **Well on our Way**

**FY 22-23:** None

**FY 21-22:** Caveat that we need to talk about parents (see question 1); also with Working Groups we have identified some gaps we are working to fill.

*Well on our way*

*Making progress*

*Just getting started*

*Not started*

2021-22

2022-23

### 4b. Providing collaborative partners with the tools/materials they need to promote our shared vision

#### Detect & Connect: **Making Progress**

**FY 22-23:** None

**FY 21-22:** Opportunity to make the rounds again.

*Well on our way*

*Making progress*

*Just getting started*

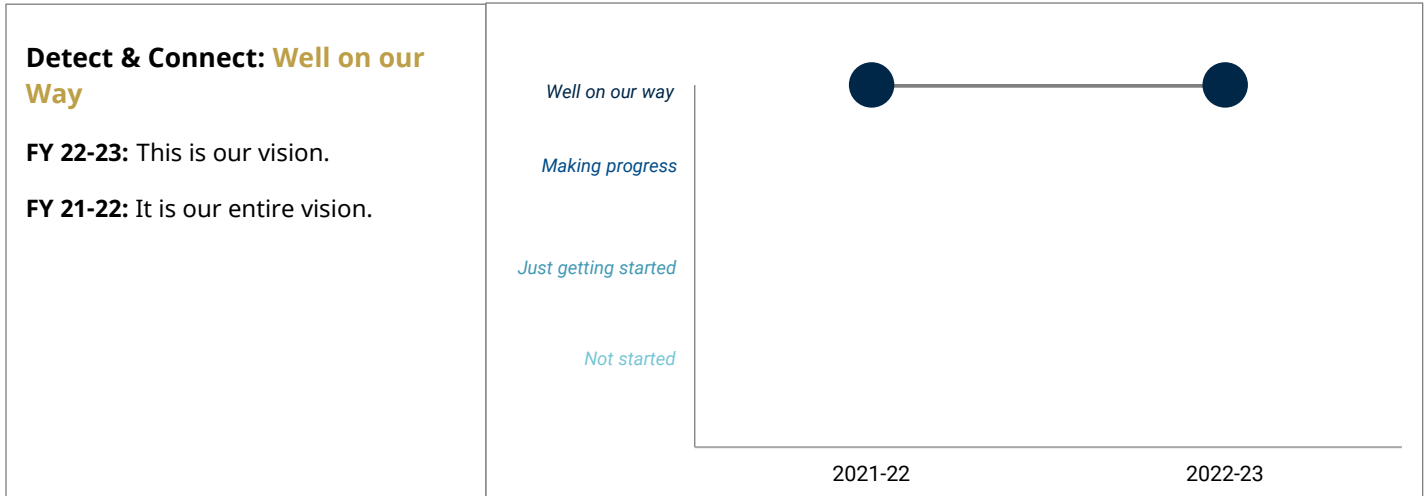
*Not started*

2021-22

2022-23

## Getting Involved Early

### 5. Families are connected to resources as early as possible





**DATE:** September 20, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Adopt Resolution Authorizing Agreement with a Revised Amount with the California Children and Families Foundation to Provide Consulting Services for Home Visiting Coordination

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**SUMMARY:**

At the special March 2023 meeting, the First 5 OC Board approved entering into a two-year agreement with First 5 California to continue home visiting coordination as well as to support our region that includes Riverside, San Bernardino, and Imperial counties. At the August 2023 meeting, consulting services to support the Home Visiting Coordination program were approved. This item requests approval to revise the original amount in the prior action for the subcontract agreement.

**DISCUSSION:**

F5OC has begun work as the regional lead and is required to manage the subcontractors on the grant. Staff had previously recommended subcontracting with two organizations to support the regional work; both subcontracts are fully reimbursable by the First 5 California grant. Health Management and Associates will continue to support the required quarterly reporting, facilitate the regional leadership, and provide oversight for the technical assistance. Staff, with unanimous consent from the regional partners, recommends revising the subcontract amount for the First 5 Association (California Children and Families Foundation) scope of services to develop a regional systems mapping effort including the fiscal landscape, data stratification with mapping to home visiting model intensity and community needs, and available revenue streams to support home visiting. The recommended funding amount will change from \$60,000 to \$76,000 for the term August 2, 2023 to June 30, 2024.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The proposed actions have been specifically reviewed in relation to First 5 Orange County's Strategic Plan and are consistent with its goals. Funding for the proposed actions will be included in the Fiscal Year 2023-2024 Budget.

**PRIOR COMMISSION ACTIONS:**

- August 2023 – Authorizing Agreements with Designated Individuals and Organizations to Provide Consulting Services for HealthySteps Implementation and Home Visiting Coordination
- June 2023 – Adopt Resolution to Approve Agreements with Region Partners and Health Management Associates to Implement First 5 California's Home Visiting Collaboration Scope of Work

**RECOMMENDED ACTION:**

Adopt resolution (Attachment 1) authorizing the President/CEO, or designee, and Commission Counsel to prepare and negotiate Agreement No. PS-301, at the President/CEO's sole discretion, with California Children and Families Foundation to provide consultant services for the revised amount of \$76,000 for the term August 2, 2023 to June 30, 2024.

**ATTACHMENTS:**

1. Resolution

**CONTACT:**

Kim Goll

**CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

**RESOLUTION NO. \_\_\_\_-23-C&FC**

**October 4, 2023**

**A RESOLUTION OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AUTHORIZING THE PRESIDENT/CEO AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AGREEMENT NO. PS-301, AT THE PRESIDENT/CEO'S SOLE DISCRETION, WITH CALIFORNIA CHILDREN AND FAMILIES FOUNDATION FOR HOME VISITING COORDINATION CONSULTANT SERVICES; AND, AUTHORIZING APPROVAL AND EXECUTION OF SUCH AGREEMENT ON BEHALF OF THE COMMISSION**

**WHEREAS**, in order to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development, the legislature adopted legislation set forth in the California Children and Families Act of 1998, Health and Safety Code Section 130100, *et seq.* (as amended, the "Act") implementing the Children and Families First Initiative passed by the California electorate in November, 1998 and establishing the California Children and Families Commission and County Children and Families Commissions, including this Children and Families Commission of Orange County ("Commission"); and

**WHEREAS**, Commission adopted its Strategic Plan to define how funds authorized under the Act and allocated to the Commission should best be used to meet the critical needs of Orange County's children prenatal to five years of age as codified in the Act; and

**WHEREAS**, the President/CEO and Commission Counsel have prepared standard form agreements, which were approved by the Commission; and

**WHEREAS**, the Commission desires to enter into Agreement No. PS-301 with California Children and Families Foundation (hereinafter referred to as the "Contractor"), at the President/CEO's sole discretion, for home visiting coordination consultant services (hereinafter collectively referred to as the "Agreement") for the revised terms, in the amounts, and on the conditions as described in the staff report, and applicable attachments, for this October 4, 2023 Agenda Item (hereinafter referred to as the "Agenda Item");

**WHEREAS**, the Contractor desires to enter into the Agreement, if authorized by the President/CEO, in furtherance of the purposes of the Act and the Strategic Plan on the terms and conditions set forth in the Agreement; and

**WHEREAS**, Commission has reviewed the Agenda Item relating to the scopes of services to be provided and hereby finds and determines that the proposed Agreement is in furtherance of and consistent with the Commission's Strategic Plan; and

**WHEREAS**, Commission desires to authorize the Commission Chair and Commission Clerk to execute the Agreement with the Contractor for the terms, in the amounts, and on the conditions as specified in the Agenda Item.

**NOW, THEREFORE, BE IT RESOLVED BY THE COMMISSIONERS OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AS FOLLOWS:**

**Section 1** Commission finds and determines the foregoing Recitals are true and correct and are a substantive part of this Resolution.

**Section 2** Commission authorizes the President/CEO, or designee, and Commission Counsel to prepare and negotiate the Agreement with the Contractor for the revised terms, in the amounts, and on the conditions consistent with the Agenda Item; and

**Section 3** The form of the Agreement shall be substantially similar to the standard form agreements, subject to minor, non-substantive revisions, or as otherwise required to comply with external funding sources, and will be reviewed and approved by the President/CEO, or designee, and Commission Counsel. The approval by the President/CEO, or designee, of the Agreement shall be conclusively evidenced by the execution of such Agreement by the Commission Chair and delivery thereof to the Commission Clerk.

**Section 4** Commission hereby approves the Agreement, which will be authorized at the President/CEO's sole discretion, with the Contractor for the terms, in the amounts, and on the conditions as specified in the Agenda Item.

**Section 5** The Commission Chair and the Clerk of the Commission are hereby authorized to execute and attest, respectively, the Agreement on behalf of the Commission.

**Section 6** A copy of the final Agreement, when executed by the Commission Chair and attested by the Clerk of the Commission, shall be appended hereto as a part of Exhibit A to this Resolution. Exhibit A is hereby fully incorporated as a part of this Resolution by this reference and made a part hereof. The final executed Agreement shall be placed on file in the office of the Clerk of the Commission.

**Section 7** In addition to the authorization of Section 2 above, the President/CEO, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreement(s), including any Amendment(s); (ii) to cause the issuance of warrants; (iii) to administer the Commission's obligations, responsibilities, and duties to be performed under such agreement(s); and (iv) during the term thereof to provide waivers, administrative interpretations, and minor modifications of the provisions of such agreement(s) in the furtherance thereof.

**Section 8** The Clerk of the Commission shall certify to the adoption of this Resolution.

The foregoing resolution was passed and adopted by the following vote of the Children and Families Commission of Orange County on October 4, 2023 to wit:

AYES Commissioners: \_\_\_\_\_

NOES: Commissioner(s): \_\_\_\_\_

EXCUSED: Commissioner(s): \_\_\_\_\_

ABSTAINED: Commissioner(s) \_\_\_\_\_

\_\_\_\_\_  
CHAIR

STATE OF CALIFORNIA    )  
  )  
COUNTY OF ORANGE    )

I, ROBIN STIELER, Clerk of the Commission of Orange County, California, hereby certify that a copy of this document has been delivered to the Chair of the Commission and that the above and foregoing Resolution was duly and regularly adopted by the Children and Families Commission of Orange County.

**IN WITNESS WHEREOF**, I have hereto set my hand and seal.

\_\_\_\_\_  
ROBIN STIELER

Clerk of the Commission, Children and Families Commission of  
Orange County, County of Orange, State of California

Resolution No: \_\_-23-C&FC

Agenda Date: October 4, 2023

Item No. \_\_



I certify that the foregoing is a true and correct copy of the  
Resolution adopted by the

Robin Stieler, Clerk of the Commission

By: \_\_\_\_\_  
Deputy

**EXHIBIT A TO RESOLUTION OF COMMISSION**

(Attach copy(ies) of final executed Agreements)

**DATE:** August 18, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Conduct Public Hearing to Receive and Authorize Certification of First 5 Orange County's submittal of First 5 California's Fiscal Year 2022-2023 Annual Report

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**SUMMARY:**

First 5 Orange County is required to conduct a public hearing to approve the annual program report and audit that is then submitted to First 5 California and the State Controller's Office. This item includes the annual program report and an update regarding the independent audit conducted by Eide Bailly LLP.

**DISCUSSION:**

The California Children and Families Act of 1998 (Health and Safety Code Sections 130140 & 130150) requires that each county commission complete an annual audit and program report of the preceding fiscal year, conduct a public hearing on the audit and program reports, and submit both to the First 5 California Commission, and the audit report to the State Controller's Office on or before November 1<sup>st</sup> of each year. The annual program report has been completed and is submitted for the public hearing.

First 5 California annually requests each county commission's Executive Director to certify compliance with Health and Safety Code Section 130140 (Fiscal Memo 10-01) prior to July 1 to remain eligible to receive Proposition 10 tobacco tax revenues. This certification was submitted to First 5 California in June 2023 prior to the prescribed deadline. First 5 California also requests that each county commission certify that Commission funds have been used only to supplement, not supplant, existing program funding for grantees. Authorization is requested for the President/CEO to provide the required statement that First 5 Orange County did not use its funding to supplant existing program funds.

**Fiscal Year 2022-2023 State Annual Report**

County commissions are required to report specific information to First 5 California including their fiscal revenues and expenditures and the population served. Counties report data annually and these data are aggregated to the State level. This compilation of county work helps to show impact and effectiveness across all First 5's throughout the state. First 5 Orange County's annual program report to the state is provided as Attachment 1.

In addition to the specific information submitted to the state, we prepare our own summary annual report that highlights major accomplishments, the numbers of children and family members served, and the systems, equity, and family engagement efforts that were foundational to all of First 5's work over the past year. Beginning with Fiscal Year 2021-2022, we transitioned First 5 Orange County's annual report to an online version featured on our website. This year, we continue the approach of creating a digital report. The website has been updated with the new annual report information that will go live after the October meeting.

On the webpage, you will see highlights from the areas we have been focusing on throughout the year including prenatal to three, child care and home visiting; community engagement and outreach; and relationship building and government affairs. In addition to highlighting our systems and family engagement work, the annual summary includes results from the direct services we fund. In total this fiscal year, we supported 43,121 young children and 54,036 parents/caregivers. After today's meeting, we will send out an eblast sharing the updated report with our partners and include it in our social calendar.

### **Annual Comprehensive Financial Report (ACFR)**

Due to circumstances outside of the control of Commission staff and auditors, we have submitted an extension to file the annual financial statements to both the California State Controller's Office and First 5 California.

As a participant in the County of Orange Retiree Medical Plan, First 5 Orange County is required to comply with Government Accounting Standards Board Statement No. 75, Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions for the fiscal year ending June 30, 2023. To fully comply with all requirements of the accounting standard, a detailed actuarial report of the County Plan must be completed by an actuary and audited by an independent auditing firm. The County Plan has provided the actuarial report and is in the process of having it audited.

First 5 Orange County's financial statements cannot be finalized in time to meet the filing deadline for the October meeting. The Comprehensive Annual Financial Report will be finalized and presented at the December First 5 OC Board meeting to meet the extended deadline of December 6, 2023.

### **STRATEGIC PLAN & FISCAL SUMMARY:**

The reports and recommended actions presented in this report have been reviewed in relation to the Commission's Strategic Plan and are consistent with applicable goals. There is no funding action proposed for this item.

### **PRIOR COMMISSION ACTIONS:**

- April 2023 – Conducted Public Hearing Receiving First 5 California's Fiscal Year 2021-2022 Annual Report
- October 2022 – Conducted Public Hearing on Fiscal Year 2021-2022 Annual Report and Approved Submittal to First 5 California

### **RECOMMENDED ACTIONS:**

1. Conduct Public Hearing.
2. Authorize the Executive Director to execute required certifications (Attachment 1) to the First 5 California Commission and to incorporate revisions to the annual data summary as needed to the Annual Program Report for Fiscal Year 2022-2023 prior to submittal.

### **ATTACHMENT:**

1. First 5 Annual Program Report: July 1, 2022 – June 30, 2023 Forms AR-1, AR-2, and AR-3

### **CONTACT:**

Michael Garcell and Lisa Burke





# Annual Report AR-1

## Orange Revenue and Expenditure Summary

### July 1, 2022 - June 30, 2023

## Revenue Detail

Category	Amount
Tobacco Tax Funds	\$20,975,393
First 5 IMPACT 2020 Funds	\$1,350,177
Small Population County Augmentation Funds	\$0
Home Visiting Coordination Funds	\$16,207
Refugee Family Support Funds	\$0
Other First 5 California Funds	\$0
Other First 5 California Funds Description	
Other Public Funds	\$1,824,210
Other Public Funds Description MAA, CalWORKS Home Visiting	
Donations	\$0
Revenue From Interest Earned	\$2,014,113
Grants	\$0
Grants Description	
Other Funds	\$177,342
Other Funds misc. reimbursements	
<b>Total Revenue</b>	<b>\$26,357,442</b>

## Improved Family Functioning

Service	Grantee	Program(s)	Children	Caregivers	Providers	Amount
General Family Support	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable</li> </ul> ()	584	1140	9	\$828,273
Intensive Family Support	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable</li> </ul> ()	128	184	0	\$231,919
<b>Total</b>						<b>\$1,060,192</b>

## Improved Child Development

Service	Grantee	Program(s)	Children	Caregivers	Providers	Amount
Quality Early Learning Supports	County Office of Education/School District	<ul style="list-style-type: none"> <li>Not Applicable</li> </ul> ()	11388	14462	1552	\$6,225,944
<b>Total</b>						<b>\$6,225,944</b>

## Improved Child Health

Service	Grantee	Program(s)	Children	Caregivers	Providers	Unique Families	Amount
General Health Education and Promotion	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	2684	777	12	0	\$318,750
General Health Education and Promotion	Hospital/Health Plan	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	2063	2063	2373	0	\$711,907
Oral Health Education and Treatment	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	10013	18104	796	0	\$2,694,948
Early Intervention	Higher Education	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	594	1646	1083	0	\$300,000
Perinatal and Early Childhood Home Visiting	County Office of Education/School District	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	187	145	0	187	\$158,160
Perinatal and Early Childhood Home Visiting	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	1813	2194	2	1813	\$2,914,143
Perinatal and Early Childhood Home Visiting	Hospital/Health Plan	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	8593	8564	0	8593	\$923,998
Perinatal and Early Childhood Home Visiting	Research/Consulting Firm	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	0	0	121	0	\$5,850
Prenatal and Infant/Toddler Pediatric Support	County Health & Human Services	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	193	211	0	0	\$1,500,000
<b>Total</b>							<b>\$9,625,772</b>

Service	Grantee	Program(s)	Children	Caregivers	Providers	Unique Families	Amount
Prenatal and Infant/Toddler Pediatric Support	Hospital/Health Plan	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	1099	771	0	0	\$34,400
Prenatal and Infant/Toddler Pediatric Support	Higher Education	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	3700	3700	14	0	\$63,615
Prenatal and Infant/Toddler Pediatric Support	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	82	75	5	0	\$1
<b>Total</b>							<b>\$9,625,772</b>

## Improved Systems Of Care

Service	Grantee	Program(s)	Amount
Systems Building	Other Public	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	\$37,665
Systems Building	CBO/Non-Profit	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	\$1,107,016
Systems Building	Research/Consulting Firm	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	\$2,187,331
Systems Building	First 5 County Commission	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	\$1,694,463
Systems Building	County Office of Education/School District	<ul style="list-style-type: none"> <li>Not Applicable ()</li> </ul>	\$118,039
<b>Total</b>			<b>\$5,144,514</b>

## Expenditure Details

Category	Amount
Program Expenditures	\$22,056,422
Administrative Expenditures	\$1,314,688
Evaluation Expenditures	\$723,177
Total Expenditures	\$24,094,287
Excess (Deficiency) Of Revenues Over (Under) Expenses	\$2,263,155

## Other Financing Details

Category	Amount
Sale(s) of Capital Assets	\$0
Other	\$0
Total Other Financing Sources	\$0

## Net Change in Fund Balance

Category	Amount
Fund Balance - Beginning	\$63,362,269
Fund Balance - Ending	\$65,625,424
Net Change In Fund Balance	\$2,263,155

## Fiscal Year Fund Balance

Category	Amount
Nonspendable	\$762,873
Restricted	\$0
Committed	\$12,023,100
Assigned	\$25,454,748
Unassigned	\$27,384,703
Total Fund Balance	\$65,625,424

## Expenditure Note

No data entered for this section as of 9/21/2023 3:47:44 PM.



**Annual Report AR-2**  
**Orange Demographic Worksheet**  
**July 1, 2022 - June 30, 2023**

**Population Served**

<b>Category</b>	<b>Number</b>
Children from 3rd to 6th Birthday	20,573
Children – Ages Unknown (birth to 6th Birthday)	2,012
Primary Caregivers	54,036
Providers	5,967
Children Less than 3 Years Old	20,536
<b>Total Population Served</b>	<b>103,124</b>



## Primary Languages Spoken in the Home

Category	Number of Children	Number of Primary Caregivers
English	25,175	19,659
Spanish	12,712	8,625
Cantonese	188	22
Mandarin	284	331
Vietnamese	949	579
Korean	120	136
Other - Specify with text box Farsi, Arabic, Pashto, Cambodian, Urdu	1,354	2,347
Unknown	2,339	22,337
<b>Totals</b>	<b>43,121</b>	<b>54,036</b>

## Race/Ethnicity of Population Served

Category	Number of Children	Number of Primary Caregivers
Alaska Native/American Indian	159	150
Asian	4,413	3,558
Black/African-American	705	700
Hispanic/Latino	23,640	17,758
Native Hawaiian or Other Pacific Islander	122	165
White	7,540	6,193
Two or more races	1,710	1,513
Unknown	3,464	23,425
Other – Specify with text box Middle Eastern, Persian, Russian, Pakistani	1,368	574
<b>Totals</b>	<b>43,121</b>	<b>54,036</b>

## Duplication Assessment

Category	Data
Degree of Duplication	15%
Confidence in Data	Moderately confident
Additional Details (Optional)	Within each grant, we present unduplicated counts. We are less confident across all grants as it is possible that some individuals were served by more than one First 5 OC funded program.



# Annual Report AR-3

## Orange County Evaluation Summary and Highlights

### July 1, 2022 - June 30, 2023

## County Evaluation Summary

### Evaluation Activities Completed, Findings, and Policy Impact

Home Visitation Landscape Analysis: Identified County need for the prenatal to three population. Low need: about 65-70% of population; moderate need: about 20-30% of population (would benefit from supports to prevent risks from becoming challenges); high need: 5-15% of population (would benefit from intensive intervention such as ongoing case management and increased family capacity). The landscape analysis also estimated the home visiting capacity gap. The system of care in OC should support about 14,000 families (about 40% of annual births), but current capacity is about 4,300 families, with a 10,000-family gap. \*\* Well Child Visits (WCV) and Developmental Screenings Focus Groups: Held 5 focus groups (50 parents/caregivers in total), in partnership with the Detect & Collect collaborative, with the intent of hearing directly from families about their experiences with WCV and developmental screenings. WCV: Parents liked: having time to ask questions, getting discharge papers with recommendations, and feeling understood; WCV challenges: transportation, scheduling appointments, waiting times, finding doctor they like. Developmental Screenings: Most parents believed their child had a screening at doctor appointment and most reported not reviewing results with doctor. A big theme around developmental screenings: sharing concerns with doctor and being told not to worry, only to be referred to services when child is older. These focus groups are a good example of how F5OC works with its collaboratives to bring in parent voices. While a F5OC consultant facilitated the focus group, all partners around the table brought "their parents". Findings from the focus groups were shared with the Engaged Neighborhood collaboratives where F5OCF validated what they heard and received additional feedback from the parents at those Engaged Neighborhood meetings. \*\* OC Children's Screening Registry (Registry): Registry includes five developmental tools: ASQ-3; ASQ: SE-2; PEDS; M-CHAT R/F; and PEARLS for Child 0-11 (Parent Report), Teen 12 and up (Parent Report) and Teen 12 and up (Self Report). For the first time, First 5 OC has information about the Registry: Registry users include: 78 medical practices, 15 community-based organizations, 7 school districts and 1 Early Childcare and Education (ECE)/preschool providers; Between 2018 through 2022, there were more than 117,000 children's records entered into the Registry, with more than 167,000 screenings; More than one-third (36%) of the children entered in the Registry live in Santa Ana or Anaheim; Overall, about 86% of children were considered low risk, 3% were medium risk, and 11% were high risk. \*\* Help Me Grow (HMG). Completed analysis of information in the STAR database for three-year period (2019-2021). Comparing findings from prior STAR report: Increase in rate of children who received follow-up care coordination by HMG from 73% with positive outcomes (at least one referral connected or pending) during 2016-2018 to 78% during 2019-2021; Increase in rate of developmental concerns, from 6% of all concerns in 2016-2018 to 22% of all concerns in 2019-2021; While Mental Health referrals continue to be the main referral provided, they have increased from 16% of all referrals in 2016-2018 to 22% of all referrals in 2019-2021; Increase in the proportion of referrals with a barrier, from 35% in 2016-2018 to 45% in 2019-2021. The type of barrier, however, remained the same: caregiver not using referral information. There are many reasons why a caregiver may not follow up on a referral ranging from finding services elsewhere, to language and transportation barriers, to the complexity of navigating the system of care.

# County Highlights

## County Highlight

In FY 22-23, First 5 OC supported the county's early intervention system, strengthened the early childhood workforce, and elevated family voices. \*\*\*Early Intervention: \*Supported HealthySteps implementation at FQHCs in 5 priority communities. Clinics completed practice transformation to effectively implement timely Well-Child Visits—screening for maternal depression, developmental screenings, and real-time behavioral treatment; \*Launched Vital Village to model/learn about alternative 0-3 services, holding 6 events between January and June 2023. Vital Village events bring birthing families together, increasing awareness/access to prenatal support services, teaching about healthy living practices, engaging in community-building activities, and providing concrete supports; \*Updated Kid Builder activities to provide practical ways parents can help their children develop. Held launch event in May with ~180 participants, then held four events at Mission Viejo Library to help F5OC gain additional experience hosting Kid Builder events with children/families (about 300 children and families attended these events). \*\*\*Childcare Workforce: with OC Community Foundation's Workforce Development Initiative, launched a Child Care Business Incubator that leverages partnerships to grow small businesses in childcare and sustain a vital workforce. Goal to create a new pipeline of Family Child Care providers taking care of children from their homes. Anticipate that 400-700 additional childcare slots could be created through this Incubator project. \*\*\*Elevate Voices: Helped launch OC Fatherhood Coalition (OCFC) that has finalized goals and started working on activities like provider trainings and surveys. Connected fatherhood work with Engaged Neighborhoods and requested participation by 2 new ambassadors in the OCFC steering committee.



**DATE:** August 18, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Receive Update on Technical Advisory Committee and Provide Input for Community Summit on Systems Improvement Work

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**SUMMARY:**

The Technical Advisory Committee (TAC) held its first meeting since the restructure and adoption of bylaws. This agenda item summarizes their recommended strategy for a community summit early next year to highlight the work of First 5 OC and countywide collaboratives in improving early childhood systems.

**DISCUSSION:**

First 5 Orange County's TAC met on August 24<sup>th</sup>. In addition to reviewing the Issue Briefs on Well-Child Visits and Developmental Screens, Infant and Toddler Child Care, and Home Visiting, we began planning for the first annual community summit to highlight First 5 OC and our partners' work to improve the systems of care serving young children and families in OC.

The TAC and staff are recommending that the target audience for this first summit be key leadership within the systems serving young children and families. The countywide collaboratives (Detect & Connect OC, Home Visiting Collaborative, and Child Care Task Force) have strong representation from system partners, and we believe each representative could identify one to two influential leaders in their organization who would benefit from learning about the collaboratives' efforts and could leverage their position for even greater support of the work. With this specific invite approach by the members of each collaborative, we anticipate a potential for about 200 participants at the summit.

The TAC proposes a half-day event, to occur in late February 2024, that would include all three topics including Well-Child Visits and Developmental Screens, Infant and Toddler Child Care, and Home Visiting, since they are so intertwined. The event would include a panel of speakers as well as a gallery walk showcasing the systems improvement work of the collaboratives. During the gallery walk, members of the collaboratives would be on hand to engage summit participants in conversation around poster board presentations.

One idea suggested by the TAC is to develop a visual document that maps the various system players, including fiscal entities, decision-makers, and service providers. This came out of a discussion about how there are many different players – some are funders, some are influencers and decision makers, some service providers – who are perhaps unaware of each other's work in the same space. If we can develop this visual and share it at the summit, participants could see how their work fits with others countywide or could add their work if it wasn't shown.

Several members of the committee offered to check whether their gathering places for audiences of 200 or more were available. Additionally, members left the TAC meeting with the assignment

of sharing the concept of a community summit with the collaborative they serve on and working with the collaborative to begin developing a targeted invite list.

We welcome F5OC Board input as we continue to build out the community summit.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended action presented in this staff report has been reviewed in relation to the Strategic Plan and is consistent with applicable goals. This agenda item does not include a funding request.

**PRIOR COMMISSION ACTIONS:**

- August 2023 – Appoint Jade Jenkins to the First 5 Orange County Technical Advisory Committee
- February 2023 – Approve Restructure of Technical Advisory Committee and Bylaws
- December 2022 – Discuss and Provide Direction on Next Steps for Determining the Configuration of the Technical Advisory Committee

**RECOMMENDED ACTION:**

Receive update on Technical Advisory Committee and provide input for community summit on systems improvement work.

**ATTACHMENTS:**

None.

**CONTACT:**

Lisa Burke



**DATE:** September 11, 2023  
**TO:** First 5 Orange County  
**FROM:** Kimberly Goll, President/CEO



**ACTION:** Receive Update from Partnership and Government Affairs

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**SUMMARY:**

The First 5 Orange County Partnership and Government Affairs team continues to develop and support key relationships and monitor and advocate for state and local policy initiatives. This agenda item provides an update on partnership development, government affairs and policy efforts in 2023 and the outlook for 2024.

**DISCUSSION:**

First 5 Orange County's Partnership and Government Affairs began its earliest work in the area of partnership development. In 2023, Tiffany Alva has served as the chair of OC Grantmakers, bringing an early childhood focus to this philanthropic organization including development of an Early Childhood Issue Table that brings funders together to explore how they can support the needs of young children and families. Partnership and Government Affairs staff is also on the board of OC Forum, bringing an early childhood lens to its presentation topics. For example, we helped facilitate an OC Forum webinar about child care and its impact on Orange County's economy and workforce. Most recently, we joined the OC Hispanic Chamber of Commerce where we are working to highlight issues around child care such as opportunities for entrepreneurship while meeting child care needs. The Partnership and Government Affairs team also attends a range of local board meetings to build relationships with city and county decision-makers that could impact early childhood funding and programming.

At the February 3, 2021 meeting, First 5 OC established a Legislative Platform. The Platform (Attachment 1) includes five priority areas closely aligned with First 5 OC's investment areas. This platform serves as the foundation for the work of the Partnership and Government Affairs team and is used to prioritize outreach, relationship building, policy, and advocacy positions. In January 2023, First 5 took significant steps to scale its policy efforts, including the addition of a new team member and the acquisition of a legislative tracking software. These investments have allowed us to identify and monitor over 430 bills related to our Legislative Platform in 2023 alone. Additionally, the team has begun an evaluation to ensure our policy goals are aligned with First 5 OC investments. The topic specific Issue Briefs, shared with the Board at the August meeting, provides valuable support in this effort to link our programs to our policy goals.

As the 2023 Legislative Session winds down, our commitment to collaboration remains. We are actively monitoring evolving changes at both the federal and state levels. Two of the issues staff have been monitoring are:

- *California AB 596 (Reyes) and SB 380 (Limón) - Early learning and care: rate reform*  
These bills were introduced in tandem, with the shared goal of reducing family contributions and increasing compensation for child care workers. The Partnerships and Government Affairs team has submitted letters of support and engaged with legislators at every opportunity. AB 596 was placed on the 2-year bill list which provides an opportunity for continued progress next year. It is worth noting that the bill's progress may be influenced by ongoing negotiations within the child care union. Federal offices, including the Office of Child Care (OCC), Administration for Children and Families (ACF), and the Department of Health and Human Services (HHS), have recently proposed changes aimed at lowering child care costs for families, improving provider payment rates, enhancing parent choice, and stabilizing operations for participating providers which may also affect what happens in California.
- *Mental Health Services Act Reform* In coordination with the First 5 Association, we have been monitoring Governor Newsom's legislative package modernizing the Mental Health Services Act (SB 326) and proposing a \$4.68 billion bond (AB 531). Both AB 531 and SB 326 have been passed by the legislature. Once they are signed by the Governor, the modernization of the state's mental health services system and the bond will go to California voters for approval. Both bills will appear jointly on the March 2024 ballot as Proposition 1. Language has been included to designate 0-5 as a priority population but no specific amount is currently attached to the language.

In the coming months and looking ahead to 2024, Partnership and Government Affairs staff is excited about several upcoming activities. Staff will continue to support community engagement work including Conditions of Children events and a series of Kid Builder events with the Board of Supervisors. These events also provide an opportunity to partner with our local and state offices. We also anticipate hosting educational events focused on First 5 Orange County policy priorities.

With the OC delegation, we are focused on highlighting the work we do at First 5 Orange County and building their support (will building). We are planning several site visits to showcase the impact of our investments, which we expect will provide opportunities to interact with the OC delegation's office staff, and we plan to host a staff engagement event in April.

We have also been working with the office of the California Surgeon General to schedule a visit to Orange County child care facilities to observe Safe Spaces in action. Safe Spaces is a program promoted by the Surgeon General to embed trauma-informed practices in educational and care settings to support children who have experienced trauma or stress. Several Orange County child care facilities have been trained and are using Safe Spaces and we are pleased to highlight a few for the Surgeon General. We will keep the board informed as we finalize details for her visit.

We are collaborating with First 5 Association to advocate for a state budget allocation in 2024. As described above, we continue to build and maintain strong relationships with our partners and Orange County elected officials in preparation for a potential budget ask. Staff is also preparing for the First 5 Association's Advocacy Day in February 2024; when more information becomes available, we will share it with the Board. In addition to Advocacy Day, we will invite the Board to join discussions with legislative offices about First 5 Orange County's specific policy priorities when opportunities become available.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended action has been reviewed in relation to the Strategic Plan and is consistent with all goal areas. There is no funding action proposed for this item.

**PRIOR COMMISSION ACTIONS:**

- January 2021 – Adopted First 5 Orange County 2021 Legislative Platform
- August 2020 – Adopted First 5 Orange County Guidelines for Policy Positions and Engaging Leadership
- April 2019 – Adopted First 5 Orange County 2019-2024 Strategic Plan

**RECOMMENDED ACTION:**

Receive update on partnership, government affairs, and policy efforts.

**ATTACHMENTS:**

1. Legislative Platform

**CONTACT:** Tiffany Alva

# First 5 Orange County Legislative Platform



## **First 5 Orange County's vision is that all children reach their full potential.**

To achieve this vision, we use four strategies – get involved early, elevate equity, empower champions, and align systems of care – to guide our investments, prioritize our work and interact with our community.

## **The following Legislative platform allows us to advocate for young children and their families to help reach our vision:**

- 1** Increase opportunities for families to meaningfully participate in decision making and provide policy input.
- 2** Prioritize early childhood in policy making, relying on research and local data whenever possible to encourage others to also prioritize early childhood.
- 3** Improve systems to increase early access to comprehensive physical and mental health, cognitive development and early care and education.
- 4** Integrate the whole child/whole family's needs.
- 5** Support continued and future funding to further early childhood development and education.

**DATE:** August 18, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Authorize Acceptance of \$100,000 from PNC Bank for Kid Builders Sponsorship

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**SUMMARY:**

This Item requests authorization to accept funds from PNC Bank as a sponsor for Kid Builders. Funding will support community outreach events, promotional materials, and media.

**DISCUSSION:**

First 5 Orange County's vision is that all children reach their full potential and to that end, our Strategic Plan includes building champions and strengthening relationships with community partners, families, philanthropy, and local and state legislators. The Partnership and Government Affairs team has been strategic in building these relationships including outreach and engagement with community partners aimed at investing in early childhood as we continue to see a decline in our funding.

Staff serve on local boards such as OC Grantmakers and OC Forum, are members of chambers of commerce, and attend several community events. Our goal is to leverage our relationships to create champions for young children in Orange County, including having others invest in early childhood as well as continuing to spread the word about the critical role First 5 OC plays in the community.

Based on discussion at a recent First 5 OC Board meeting, staff has been working to find a sponsor for Kid Builders that would allow us to continue to creatively engage families, providers, and legislators with this resource. With knowledge developed through our relationship-building in Orange County's philanthropic community, we reached out to PNC Bank because their Foundation focuses on supporting young children.

Since 2004, PNC Bank has a stated vision to help prepare children from birth through age five for success in school and life, noting, "We believe it's never too early to invest in a child's future. Because when children thrive, the future becomes even brighter." They support programs and provide resources and experiences that plant the seeds for a lifetime of opportunities, striving to eliminate barriers and improve equity so that every child, especially those in underserved communities, can succeed.

We are pleased to share that PNC Bank has agreed to sponsor Kid Builders in the amount of \$100,000. They will be the Kid Builders' presenting sponsor with exclusivity for the financial services category. Their logo will be included on signage, marketing materials, promotional items and toolkits; we will include a PNC Bank table at each community engagement event to provide early learning or financial literacy materials to parents/caregivers; and they will be a featured partner on our social media for Kid Builders.

We are excited about this collaboration with PNC Bank and appreciate their support for Kid Builders.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended action presented in this staff report has been reviewed in relation to the Strategic Plan and is consistent with applicable goals and outcomes.

**PRIOR COMMISSION ACTIONS:**

- June 2023 – Received an Update on Kid Builders
- June 2022 – Adopted a Resolution Authorizing Agreement with Cornerstone Communications for the Update of Kid Builders

**RECOMMENDED ACTION:**

Authorize the CEO, or designee, to accept sponsorship funding from PNC Bank in the amount of \$100,000 and execute the sponsorship agreement (Attachment 1).

**ATTACHMENT:**

1. Sponsorship Agreement

**CONTACT:**

Tiffany Alva

## SPONSORSHIP AGREEMENT

This Sponsorship Agreement (the “Agreement”) is entered into on October 4, 2023 (the “Effective Date”), by and between PNC Bank, National Association, with offices at 300 Fifth Avenue, Pittsburgh, PA 15222 (“PNC”) and the Children and Families Commission of Orange County, with an address at 1505 East 17th Street, Suite 230, Santa Ana, CA 92705 (“Organization”).

### I. BACKGROUND

Sponsorship of Organization by PNC will require a payment by PNC to Organization in return for Organization’s agreement to provide certain Sponsorship Benefits (as defined below) to PNC pursuant to the terms and conditions of this Agreement. PNC and Organization have reached agreement on the terms and conditions of the sponsorship and desire to enter into an agreement memorializing their understanding.

Accordingly, for good and valuable consideration and with the intent to be legally bound, PNC and Organization hereby agree as follows:

### II. SPONSORSHIP

- A. PNC agrees to pay Organization \$100,000 (the “Sponsorship Fee”).
- B. In consideration of PNC’s payment of the Sponsorship Fee specified in Section II(A), Organization agrees to perform the tasks and provide the benefits specified on Attachment A (the “Sponsorship Benefits”). Organization represents and warrants that Organization shall provide the Sponsorship Benefits set forth herein in a good and workmanlike manner, with due care and in compliance with all applicable laws, regulations, rules and ordinances.
- C. In the event that Organization is unable to perform any of its obligations set forth in this Agreement, Organization will promptly notify PNC in writing and the parties shall negotiate in good faith commensurate make-goods based on the Sponsorship Benefits on Attachment A of this Agreement that were received by PNC prior to the date PNC receives notice from Organization. Such make-goods may include, but are not limited to, an extension of the Term (as defined below) to the next scheduled event, alternative sponsorship opportunities or alternative make-goods, or a pro-rata credit or refund of the Sponsorship Fee, subject to PNC’s final approval.
- D. In the event that the Sponsorship Benefits set forth on Attachment A include the establishment of a link between Organization’s website and PNC’s website, the additional terms and conditions on Attachment B shall govern the establishment of such link.
- E. PNC may provide Organization with text, artwork, graphics and photographs (“Content”) that may be incorporated into materials that may be displayed or distributed by Organization (“Materials”), subject to Organization’s approval. Such Materials will be used, displayed and distributed solely in the manner described on Attachment A and pursuant to the terms and conditions of this Agreement.

### III. DISPLAY AND DISTRIBUTION OF MATERIALS

- A. PNC hereby grants Organization a non-exclusive, non-transferable, limited and revocable license to (i) incorporate the Content into the Materials, and (ii) display and distribute the Materials

solely pursuant to the terms and conditions of this Agreement and as approved by PNC in advance in writing. PNC may establish further guidelines governing the use, display and distribution of any Content or Materials and the quality of the items on which the Content are displayed; Organization shall comply with any such guidelines provided to Organization by PNC. Organization may not display or distribute any Materials in a manner that is detrimental or prejudicial to PNC's reputation. All use, display and distribution of any Materials shall inure to the benefit of PNC. PNC may terminate the license granted in this Section III with respect to any or all of the Content and Materials at any time upon written notice to Organization.

B. At any time during the Term of the Agreement, PNC may request, in PNC's sole discretion, that Organization at Organization's expense immediately: (i) temporarily remove all signage containing PNC Content that is not permanent and/or (ii) temporarily remove all digital elements containing PNC Content. This includes, but is not limited to, LED signage, electronic signage, virtual signage, press conference back drops, scoreboard features, rotating signage, banner ads, digital content, social media features, and/or mobile content. PNC will direct Organization when to return the signage and digital elements to prescribed rotations as defined in the Agreement. Organization will return PNC signage and digital to the rotation/exposure levels prescribed in the Agreement at Organization's expense within forty-eight (48) hours of PNC's request.

#### IV. TERMINATION; CANCELLATION

A. This Agreement shall commence on the Effective Date and shall terminate December 31, 2024 (the "Term").

B. This Agreement may be terminated by PNC upon written notice in the event that Organization commits a material breach of this Agreement.

C. If at any time during the Term of the Agreement: (i) Organization or its owners, administrators, executives, directors, officers, employees or agents commit any act or fail to act or are implicated in any situation that occurred prior to the Effective Date that subjects PNC to public disrepute, ridicule, contempt, or scandal, violates accepted professional standards, or is likely to injure PNC's image, reputation, goodwill or proprietary rights, PNC shall have the option to terminate the Agreement upon written notice to Organization and shall have no further payment obligations hereunder. In the event of any such termination, Organization shall provide PNC with a pro-rata refund of the Sponsorship Fee paid for the Sponsorship Benefits not received as of the effective date of termination within thirty (30) days of the effective date of such termination.

D. Upon the termination or expiration of this Agreement, Organization shall cease all use, display and distribution of any Content and Materials unless otherwise agreed to by PNC in writing.

#### V. INDEMNIFICATION

A. Organization shall indemnify and hold PNC harmless from and against any and all costs, expenses (including, without limitation, attorneys' and legal fees), damages and other liabilities associated with any demand, claim, action, suit or proceeding (collectively, "Claims") that arise out of Organization's negligent act or omission, breach of this Agreement or the infringement of any third party intellectual property rights by Organization.

B. PNC will promptly notify Organization after PNC acquires knowledge of any Claim that might trigger Organization's indemnification obligations under Section V(A) and will provide



Organization with reasonable cooperation in the defense of such Claim at Organization's expense. PNC may, in its own discretion, participate in the defense of any Claim including using counsel of its own choosing; such participation shall not relieve Organization of any of its obligations under this Section or this Agreement. Organization shall not, without the prior written consent of PNC, settle any Claim on PNC's behalf. PNC has sole and exclusive authority to enter into any settlement that would impose an injunction or any other equitable or legal relief upon PNC or require an admission of PNC's liability.

## VI. MISCELLANEOUS

A. Governing Law. This Agreement shall in all respects be governed by the laws of the Commonwealth of Pennsylvania, without regard to its principles of conflicts of laws. The parties hereby irrevocably consent to the exclusive jurisdiction of any state or federal court in Allegheny County, Pennsylvania.

B. Waiver; Enforceability. The waiver by either party of any breach of this Agreement or any delay in exercising any rights granted to such party by this Agreement shall not constitute a waiver of such rights or any subsequent breach. If any of the provisions of this Agreement are held to be invalid, illegal or unenforceable by a court of competent jurisdiction, the validity, legality and enforceability of the other provisions shall not be affected or impaired.

C. Assignment. Organization may not assign or transfer its rights or obligations under this Agreement without the prior written consent of PNC.

D. Survival. The provisions of Sections V and VI shall survive the termination or expiration of this Agreement for any reason.

E. Jury Waiver. In any litigation in which the parties are adverse to each other, each party agrees to waive its right to a jury trial.

F. Independent Contractors. Organization understands it shall serve as an independent contractor, and under no circumstances shall it be, or be deemed to be, a partner, agent, servant, distributor, or employee of PNC in its performance hereunder. Unless approved to the contrary by PNC, all employees used by Organization shall be Organization's employees, servants, or agents, and the entire management, direction, and control of all such employees shall be exclusively vested with Organization. Organization understands that it has no authority to act for, bind or obligate PNC. Organization shall not make any representations, written or oral concerning PNC.

G. Notice. All notices, demands, requests, consents, approvals and other communications required or permitted hereunder must be in writing and will be effective upon receipt if delivered personally to such party, or by nationally recognized overnight courier service, or if sent by facsimile transmission with confirmation of delivery, to the address set forth below or to such other address as any party may give to the other in writing for such purpose:

### **To PNC:**

PNC Bank, National Association  
Attn: Denise Scott  
VP, Client & Community Relations Director  
2020 Main Street, Suite 950, Irvine, CA 92614  
EMAIL: denise.scott@pnc.com

### **With a copy to:**

PNC Bank, National Association  
Attn: Managing Chief Counsel, Contracts & IP  
One PNC, 249 Fifth Avenue  
Pittsburgh, PA 15222

**To Organization:**

Children and Families Commission of Orange  
County  
Attn: Kimberly Goll, President/Chief Executive  
Officer  
1505 East 17<sup>th</sup> Street, Suite 230  
Santa Ana, CA 92705  
EMAIL: kim.goll@cfcoc.ocgov.com

H. Entire Agreement. This Agreement supersedes all other agreements and understandings, both written and oral, between the parties with respect to the subject matter contained herein. This Agreement may only be amended by a writing that is signed by each party.

**AGREED:**

PNC Bank, National Association
Signature:
By: Jarrod Ingle
Title: Regional President
Date:

Organization
Signature:
By: Kimberly Goll
Title: President/Chief Executive Officer
Date:

## ATTACHMENT A

### **Platinum (Contribution of \$100,000)**

- Exclusivity as the presenting sponsor and category exclusivity for the Financial Services category, as defined in Attachment C
- Presenting sponsor of four (4) pop-up community engagement events across Orange County geography aligned to neighborhoods in the greatest need of support to achieve kindergarten readiness and the opportunity to collaborate on event date selection
- Logo included on all signage, marketing materials, promotional items, toolkits, take-aways (PNC to review/approve all logo assets).
- Featured speaker at the four (4) community engagement events.
- Table at the four (4) community engagement event to provide early learning or financial literacy materials to parents/caregivers.
- Featured partner in content focused Social Media campaign promoting parent/caregiver engagement or highlighting family stories.
- Four (4) social media posts promoting The Three T's/Las 3 C's (PNC to review/approve all social media content).
- Four (4) social media posts promoting PNC Grow Up Great/Great month activities (PNC to review/approve all social media content featuring PNC).
- Opportunity to include quote from PNC Regional President in Kid Builder news releases (PNC to review/approve media content).
- Opportunity to activate PNC-funded community engagement assets at events (such as Mobile Learning Adventure, Sesame Walk-Around Characters, or Be My Neighbor Day programming) if available and scheduling allows.
- Opportunity to be included in additional early childhood partner events throughout the year, at the discretion of Organization.

## **ATTACHMENT B**

PNC maintains and operates a presence on the worldwide web, with a URL known as [www.pnc.com](http://www.pnc.com), in which information regarding PNC's products and services is provided to certain of its customers ("PNC Website"). Organization maintains and operates a presence on the worldwide web, with a URL known as <https://first5oc.org> and related social and digital media platforms, in which information regarding Organization's activities is published ("Organization Website"). The parties desire to link the Organization Website to the PNC Website via a Hyperlink, as defined below.

### **1. Definitions.**

1.1 "Hyperlink" means an electronic pathway that may be displayed in the form of highlighted text, graphics or a button that connects one webpage with another webpage address.

1.2 "Weblinking" or "Weblinks" means the ability to Hyperlink between two Websites.

1.3 "Website" means one or more webpages owned by a party.

### **2. Termination.**

2.1 Organization agrees that upon receipt of written notice of termination from PNC, Organization will immediately remove any and all Weblinks from the Organization Website to the PNC Website.

### **3. Organization Warranties. Organization represents and warrants that:**

3.1 it has posted a Privacy Policy on its Website and complies with all the terms of such Privacy Policy.

## ATTACHMENT C

### *Financial Services*

Financial Services means at least, but not limited to, the following:

1. Offering depository or other accounts, products and services which are typically offered by a “bank,” a “savings association,” a “depository institution,” “member banks,” “nonmember banks,” “mutual savings bank,” “savings bank,” “insured bank,” “new depository institution,” “bridge depository institution,” “receiver,” and/or other related terms as those terms are defined in Section 3 of the Federal Deposit Insurance Act or by a “bank holding company” as defined in Section 2 of the Bank Holding Company Act, or any successor statutes, which include, but not limited to:
  - a. Wholesale, commercial and consumer savings, checking, money market, demand, Negotiable Order of Withdrawal, and other types of deposit accounts (including ancillary such as direct deposit, ACH or other automated or electronic debit transactions);
  - b. Secured or unsecured commercial and consumer lending services, loans financing, leases (whether direct or indirect installment sales contracts) including, without limitation, mortgage, home equity installment, home equity and business lines of credit, student, vehicle, dealer financing and related floor planning lending, equipment lending, and others;
  - c. Issuing, servicing and processing credit cards, debit cards, stored value cards and cards embedded with a microprocessing chip generally known as “smart cards”;
  - d. Payment and/or transaction processing services, bill payment services
  - e. The provision of any of the services described in this section through the use of electronic media, the Internet, online services, mobile applications, mobile devices, facsimile machines, computers, telephones, televisions, automated teller machines, electronic banking kiosks, wherever located;
  - f. Trust, custodial, investment advisory, retirement, and fiduciary services;
  - g. Merchant and merchant services, including payment platforms, such as, but not limited to, offerings of PNC competitors like Fiserv, Shift4, etc.
  - h. Lockbox, cash management and treasury management services; and,
  - i. Services typically provided by financial institutions in connection with “Private Banking” and “Financial Planning” programs;

2. Offering accounts, products, and services typically offered by investment banks, investment advisors, and securities broker-dealers, which include, but are not limited to:
  - a. Securities sales, trading and brokerage;
  - b. Investment management, wealth management, money management financial asset management, financial risk management and assessment and any other products or services relating thereto;
  - c. Sponsoring, advising, selling and/or providing administrative services to mutual funds and institutional investors;
  - d. Trading in commodities and futures;
  - e. Underwriting and/or privately placing debt and equity securities;
  - f. capital market products and services (e.g. asset backed securities, structured finance, and similar products);
  - g. Trading in options, indices, foreign currency, rate swaps, caps, collars, and other products generally known as “derivatives”; and,
  - h. Advisory services relating to mergers, acquisitions, refinancings, balance sheet restructurings, divestitures and valuations;
3. Offering life, property, credit, and casualty insurance;
4. Offering annuity products;
5. Offering health savings accounts (HSAs) or any other health savings plans and products;
6. Offering any financial technology (“FinTech”) products or services, such as, but not limited to, offerings of PNC competitors like Chime, Plaid, Acorn, etc.
7. Offering online, electronic, or contactless payment products or services, such as, but not limited to, offerings of PNC competitors like PayPal, Square, Venmo, etc.
8. Offering cryptocurrency and/or blockchain products and services, such as, but not limited to, offerings of PNC competitors like Bitcoin, Ripple, Coinbase, etc.

**DATE:** August 25, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO *Kimberly Goll*

**ACTION:** Adopt Resolution Authorizing Agreement with Health Plus Studio to Provide Support for Family and Early Childhood Mental Health Community Planning

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**SUMMARY:**

In September, First 5 Orange County released a Request for Proposals (RFP) to identify and secure a consultant with the expertise and capacity to facilitate stakeholder convenings focused on Family and Early Childhood Mental Health (FEMCH). This agenda item seeks authorization to enter into a contract with the selected candidate from the RFP applicants.

**DISCUSSION:**

In July, First 5 Orange County initiated conversations with stakeholders to address the current landscape of Family, Infant, and Early Childhood Mental Health (FEMCH) in Orange County. These discussions highlighted the need for a collective effort to convene stakeholders and develop a unified systems-building approach to FEMCH. In response, F5OC released an RFP, seeking proposals from qualified individuals and firms with expertise in community collaboration, systems strategy, and early childhood mental health. While First 5 Orange County and the Orange County Health Care Agency are jointly funding this initiative, the diverse group of stakeholders contributed to shaping the RFP, reviewed submitted proposals, and participated in the selection of the recommended consultant to ensure alignment with the community's collective objective. The Health Care Agency has agreed to allocate \$49,000 which will be added to First 5 OC's allocation of \$101,000 for a total contract amount of \$150,000.

RFP respondents were required to demonstrate their experience in facilitating collaborative community efforts and systems strategy. A strong grasp of the early childhood landscape, mental health supports, and services, as well as an understanding of funding models and strategies, were identified as necessary background to effectively guide the proposed scope of work. The identified consultant will play a pivotal role in fostering collaboration among diverse stakeholders and developing a comprehensive method to bridge the various early childhood mental health efforts that exist in Orange County.

A review panel analyzed the submittals and recommend Health Plus Studio as the consultant to lead this work. Health Plus Studio excels in project management and facilitation, and their expertise in early relational health is a critical asset for the project's success. Their commitment to amplifying community input in decision-making aligns with First 5 OC and stakeholders' dedication to centering community voices and will support the creation of a continuum of care that will benefit generations to come.

We recommend that the Board authorize entering into an agreement in the amount of \$150,000 for a term of one year with Health Plus Studio.

**STRATEGIC PLAN & FISCAL SUMMARY:**

The proposed actions have been specifically reviewed in relation to First 5 Orange County's Strategic Plan and are consistent with its goals. The First 5 OC funding for this action is included in the FY 2023-24 budget and the additional funding from the Orange County Health Care Agency will be included in upcoming budget amendment.

**PRIOR COMMISSION ACTIONS:**

None.

**RECOMMENDED ACTIONS:**

1. Adopt resolution (Attachment 1) authorizing the President and CEO, or designee, and Commission Counsel to prepare and negotiate an agreement with the Health Care Agency of Orange County to receive up to \$49,000 to support the Family Early Childhood Mental Health work.
2. Adopt resolution (Attachment 2) authorizing the President/CEO, or designee, and Commission Counsel to prepare and negotiate a new agreement C-482 with Health Plus Studio for a maximum obligation of \$150,000 and a one-year term beginning November 1, 2023 and ending October 31, 2024.

**ATTACHMENTS:**

1. Orange County Health Care Agency Resolution
2. Health Plus Studio Resolution

**CONTACT:** Anaiah Brown



**CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

**RESOLUTION NO. \_\_\_\_-23-C&FC**

**October 4, 2023**

**A RESOLUTION OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY DIRECTING THE PRESIDENT/CEO AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AN AGREEMENT WITH THE COUNTY OF ORANGE HEALTH CARE AGENCY TO SUPPORT THE FAMILY EARLY CHILDHOOD MENTAL HEALTH WORK; AND, AUTHORIZING APPROVAL AND EXECUTION OF SUCH AGREEMENT ON BEHALF OF THE COMMISSION**

**WHEREAS**, in order to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development, the legislature adopted legislation set forth in the California Children and Families Act of 1998, Health and Safety Code Section 130100, *et seq.* (as amended, the “Act”) implementing the Children and Families First Initiative passed by the California electorate in November, 1998 and establishing the California Children and Families Commission and County Children and Families Commissions, including this Children and Families Commission of Orange County (“Commission”); and

**WHEREAS**, Commission desires to prepare and negotiate an Agreement with the Orange County Health Care Agency, hereinafter referred to as the “Agency,” to support the Family Early Childhood Mental Health work as described in the staff report and attachments for the October 4, 2023 Commission Meeting (hereinafter referred to as the “Agenda Item”); and

**WHEREAS**, Agency desires to enter into agreement in furtherance of the purposes of the Act and the Strategic Plan; and

**WHEREAS**, Commission has reviewed the Agenda Item for the October 4, 2023 Commission meeting and hereby finds and determines that the proposed Agreement is in furtherance of and consistent with the Commission’s Strategic Plan; and

**WHEREAS**, Commission authorizes the Commission Chair and Commission Clerk to execute the Agreement with Agency as specified in the October 4, 2023 Agenda Item.

**NOW, THEREFORE, BE IT RESOLVED BY THE COMMISSIONERS OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AS FOLLOWS:**

**Section 1** Commission finds and determines the foregoing Recitals are true and correct and are a substantive part of this Resolution.

**Section 2** Commission authorizes the President/CEO, or designee, and Commission Counsel enter into the Agreement with Agency as described in the October 4, 2023 Agenda Item.

**Section 3** The form of the Agreement with Agency may be on a template provided by Agency and reviewed and approved by the President/CEO, or designee, and Commission Counsel. The approval by the President/CEO, or designee, of the Agreement shall be conclusively evidenced by the execution of such Agreements by the Commission Chair and delivery thereof to the Commission Clerk.

**Section 4** Commission hereby approves the Agreement with the Agency for the terms and conditions as specified in the October 4, 2023 Agenda Item.

**Section 5** The Commission Chair and the Clerk of the Commission are hereby authorized to execute and attest, respectively, the Agreement on behalf of the Commission.

**Section 6** A copy of the Agreement when executed by the Commission Chair and attested by the Clerk of the Commission shall be appended hereto as a part of Exhibit A to this Resolution. Exhibit A is hereby fully incorporated as a part of this Resolution by this reference and made a part hereof. The final executed Agreement shall be placed on file in the office of the Clerk of the Commission.

**Section 7** In addition to the authorization of Section 2 above, the President/CEO, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreement(s), including any amendment(s); (ii) to cause the issuance of warrants; (iii) to administer the Commission's obligations, responsibilities, and duties to be performed under such agreement(s); and (iv) during the term thereof to provide waivers, administrative interpretations, and minor modifications of the provisions of such agreement(s) in the furtherance thereof.

**Section 8** The Clerk of the Commission shall certify to the adoption of this Resolution.

The foregoing resolution was passed and adopted by the following vote of the Children and Families Commission of Orange County on October 4, 2023 to wit:

AYES Commissioners: \_\_\_\_\_

NOES Commissioner(s): \_\_\_\_\_

EXCUSED Commissioner(s): \_\_\_\_\_

ABSTAINED Commissioner(s): \_\_\_\_\_

\_\_\_\_\_  
CHAIR

STATE OF CALIFORNIA    )  
                                      )  
COUNTY OF ORANGE    )

I, ROBIN STIELER, Clerk of the Commission of Orange County, California, hereby certify that a copy of this document has been delivered to the Chair of the Commission and that the above and foregoing Resolution was duly and regularly adopted by the Children and Families Commission of Orange County.

**IN WITNESS WHEREOF**, I have hereto set my hand and seal.

\_\_\_\_\_  
Robin Stieler  
Clerk of the Commission, Children and Families Commission of  
Orange County, County of Orange, State of California

Resolution No: \_\_-23-C&FC

Agenda Date: October 4, 2023

Item No. \_\_



I certify that the foregoing is a true and correct copy of the  
Resolution adopted by the

ROBIN STIELER, Clerk of the Commission

By: \_\_\_\_\_  
Deputy

**EXHIBIT A TO RESOLUTION OF COMMISSION**

(Attach copy of final executed Agreement)

**CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

**RESOLUTION NO. \_\_\_\_-23-C&FC**

**October 4, 2023**

**A RESOLUTION OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AUTHORIZING THE PRESIDENT/CEO AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AGREEMENT NO. C-482, AT THE PRESIDENT/CEO'S SOLE DISCRETION, WITH HEALTH PLUS STUDIO FOR FAMILY AND EARLY CHILDHOOD MENTAL HEALTH COMMUNITY PLANNING; AND, AUTHORIZING APPROVAL AND EXECUTION OF SUCH AGREEMENT ON BEHALF OF THE COMMISSION**

**WHEREAS**, in order to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development, the legislature adopted legislation set forth in the California Children and Families Act of 1998, Health and Safety Code Section 130100, *et seq.* (as amended, the "Act") implementing the Children and Families First Initiative passed by the California electorate in November, 1998 and establishing the California Children and Families Commission and County Children and Families Commissions, including this Children and Families Commission of Orange County ("Commission"); and

**WHEREAS**, Commission adopted its Strategic Plan to define how funds authorized under the Act and allocated to the Commission should best be used to meet the critical needs of Orange County's children prenatal to five years of age as codified in the Act; and

**WHEREAS**, the President/CEO and Commission Counsel have prepared standard form agreements, which were approved by the Commission; and

**WHEREAS**, the Commission desires to enter into Agreement No. C-482 with Health Plus Studio (hereinafter referred to as the "Contractor"), at the President/CEO's sole discretion, for family and early childhood mental health community planning (hereinafter collectively referred to as the "Agreement") for the revised terms, in the amounts, and on the conditions as described in the staff report, and applicable attachments, for this October 4, 2023 Agenda Item (hereinafter referred to as the "Agenda Item");

**WHEREAS**, the Contractor desires to enter into the Agreement, if authorized by the President/CEO, in furtherance of the purposes of the Act and the Strategic Plan on the terms and conditions set forth in the Agreement; and

**WHEREAS**, Commission has reviewed the Agenda Item relating to the scopes of services to be provided and hereby finds and determines that the proposed Agreement is in furtherance of and consistent with the Commission's Strategic Plan; and

**WHEREAS**, Commission desires to authorize the Commission Chair and Commission Clerk to execute the Agreement with the Contractor for the terms, in the amounts, and on the conditions as specified in the Agenda Item.

**NOW, THEREFORE, BE IT RESOLVED BY THE COMMISSIONERS OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AS FOLLOWS:**

**Section 1** Commission finds and determines the foregoing Recitals are true and correct and are a substantive part of this Resolution.

**Section 2** Commission authorizes the President/CEO, or designee, and Commission Counsel to prepare and negotiate the Agreement with the Contractor for the revised terms, in the amounts, and on the conditions consistent with the Agenda Item; and

**Section 3** The form of the Agreement shall be substantially similar to the standard form agreements, subject to minor, non-substantive revisions, or as otherwise required to comply with external funding sources, and will be reviewed and approved by the President/CEO, or designee, and Commission Counsel. The approval by the President/CEO, or designee, of the Agreement shall be conclusively evidenced by the execution of such Agreement by the Commission Chair and delivery thereof to the Commission Clerk.

**Section 4** Commission hereby approves the Agreement, which will be authorized at the President/CEO's sole discretion, with the Contractor for the terms, in the amounts, and on the conditions as specified in the Agenda Item.

**Section 5** The Commission Chair and the Clerk of the Commission are hereby authorized to execute and attest, respectively, the Agreement on behalf of the Commission.

**Section 6** A copy of the final Agreement, when executed by the Commission Chair and attested by the Clerk of the Commission, shall be appended hereto as a part of Exhibit A to this Resolution. Exhibit A is hereby fully incorporated as a part of this Resolution by this reference and made a part hereof. The final executed Agreement shall be placed on file in the office of the Clerk of the Commission.

**Section 7** In addition to the authorization of Section 2 above, the President/CEO, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreement(s), including any Amendment(s); (ii) to cause the issuance of warrants; (iii) to administer the Commission's obligations, responsibilities, and duties to be performed under such agreement(s); and (iv) during the term thereof to provide waivers, administrative interpretations, and minor modifications of the provisions of such agreement(s) in the furtherance thereof.

**Section 8** The Clerk of the Commission shall certify to the adoption of this Resolution.

The foregoing resolution was passed and adopted by the following vote of the Children and Families Commission of Orange County on October 4, 2023 to wit:

AYES Commissioners: \_\_\_\_\_

NOES: Commissioner(s): \_\_\_\_\_

EXCUSED: Commissioner(s): \_\_\_\_\_

ABSTAINED: Commissioner(s) \_\_\_\_\_

\_\_\_\_\_  
CHAIR

STATE OF CALIFORNIA    )  
  )  
COUNTY OF ORANGE    )

I, ROBIN STIELER, Clerk of the Commission of Orange County, California, hereby certify that a copy of this document has been delivered to the Chair of the Commission and that the above and foregoing Resolution was duly and regularly adopted by the Children and Families Commission of Orange County.

**IN WITNESS WHEREOF**, I have hereto set my hand and seal.

\_\_\_\_\_  
ROBIN STIELER

Clerk of the Commission, Children and Families Commission of  
Orange County, County of Orange, State of California

Resolution No: \_\_-23-C&FC

Agenda Date: October 4, 2023

Item No. \_\_



I certify that the foregoing is a true and correct copy of the  
Resolution adopted by the

Robin Stieler, Clerk of the Commission

By: \_\_\_\_\_  
Deputy

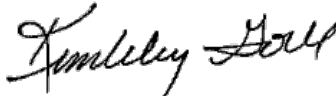
**EXHIBIT A TO RESOLUTION OF COMMISSION**

(Attach copy(ies) of final executed Agreements)



**DATE:** September 1, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO 

**ACTION:** Authorize Funding for an Intergovernmental Transfer (IGT) Transaction with CalOptima and Adopt Resolution Authorizing Agreement with the California Department of Health Care Services

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**SUMMARY:**

First 5 Orange County has participated in seven intergovernmental transfer (IGT) transactions with CalOptima as a strategy to leverage federal funding to support investments in children's health. This agenda item requests funding for an IGT transaction and authorization of an agreement with California Department of Health Care Services (DHCS).

**DISCUSSION:**

A rate range IGT transaction provides federal Medicaid funding for reimbursement of uncompensated care for Medi-Cal beneficiaries in a given fiscal year (FY). This type of IGT can only occur via a managed care organization, such as CalOptima. Rate range IGTs began statewide in 2006 and have been used by every county in the state to offset the cost of uncompensated care provided by county health departments, public hospitals, and other local care providers. Due to California's comparatively low reimbursement rates, counties have substantial headroom with which to accommodate these transactions. With rate range IGTs, a government entity provides non-federal matching funds that the State uses to obtain the highest reimbursement rate that is federally allowable. As a general guide, for every dollar provided as a match, about a dollar is returned to the originating county. DHCS charges a 20 percent administrative fee on each transaction.

Participation in an IGT is limited to organizations on both the provider and financing sides that meet the following eligibility criteria:

- *Agencies that have documented uncompensated cost of serving Medi-Cal members* - Since the basis for an IGT is reimbursement for the actual cost of care for services provided, a participating entity must be able to document uncompensated costs for a defined period. In this case, the amount of the transaction is based on expenses incurred during the Calendar Year 2022 Rate Range Program. The determination of uncompensated costs is limited to the difference between CalOptima's payment to providers for authorized benefits and the actual cost of care for these services. Agencies must show that the uncompensated care was for specific services to CalOptima members for which they were a contracted provider. Dental services, for example, are not currently within CalOptima's scope of mandated benefits and are therefore not eligible for reimbursement under an IGT.
- *Financing to support the transaction must be provided by a government entity* - The local funds to support IGT transaction financing must be public and cannot be federal funds or private provider donations. First 5 Orange County is an eligible public entity and has completed seven previous IGT transactions.

- *IGT revenue must be used for Medi-Cal covered benefits* - Potential uses for IGT funding have narrowed significantly due to federal regulations and State policies. IGT funds are now considered part of the capitation payments that CalOptima receives from the State and thus are subject to the same restrictions. Essentially, funds may only be used for covered Medi-Cal benefits for existing CalOptima members.

Previous interpretations of IGT guidance limited First 5 OC's ability to directly receive the match funding. We have received updated guidance that First 5 OC is an eligible recipient of the original contribution and the match. We subsequently verified that guidance with Health Management Associates, who provide technical assistance to other counties throughout the state on IGTs. Given this change in the guidance, First 5 OC staff recommend participation in this IGT. Participation will afford First 5 OC the opportunity to be the direct beneficiary of the original investment and the federal match.

Consistent with previous IGT transactions, First 5 Orange County decides on participation in the IGT, the estimated amount of the transaction, and approves a general scope. The California Department of Health Care Services (DHCS) determines the final contribution amount from First 5 Orange County based upon actual enrollment figures. For this IGT, First 5's projected pro rata share of the county's overall headroom for an IGT transaction is \$763,788. This amount does not include the 20 percent fee assessed by DHCS which is \$157,758. However, the total funds transferred will be determined by DHCS and will be based upon actual enrollment figures and population served. Therefore, the final funding amount may be higher or lower than this estimated amount. If the final amount is lower, DHCS will return unspent funds to First 5 Orange County, and if it is higher, First 5 Orange County will be required to provide additional funding in an amount identified by DHCS. The final reconciliation is projected to take place approximately two years after the completion of the service period.

Staff will continue to provide updates to the First 5 OC Board on the progress of this IGT transaction and total funding contributed. First 5's contribution will come from our Systems Building fund, which accumulates through allocating revenue that is over the budgeted revenue. This fund has historically been used to fund and support IGTs and other one-time opportunities. Proceeds from this IGT are estimated to be \$763,788 and will be allocated to support services that benefit the Medi-Cal population.

#### **STRATEGIC PLAN & FISCAL SUMMARY:**

The recommended actions presented in this staff report have been reviewed in relation to the Strategic Plan and are consistent with applicable goals. Funding for this item will be included in the applicable fiscal budget once an agreement is signed with DHCS.

#### **PRIOR COMMISSION ACTIONS:**

- October 2022 – Update on all IGT projects
- October 2021 – Approve administrative update to terms of IGT agreement
- February 2021 – Approved IGT Transaction
- December 2020 – Update on potential IGT transaction
- October 2020 – Update on all IGT projects
- May 2020 – Approved updated contract terms for IGT Transaction
- April 2020 – Approved IGT Transaction
- October 2019 – Approved IGT Transaction
- December 2017 – Approved IGT Transaction
- March 2017 – Approved IGT Transaction

- April 2016 – Approved Amended Resolution for IGT transaction
- February 2016 – Approved IGT Transaction
- December 2015 – Receive update on proposed Intergovernmental Transfer (IGT) transaction with CalOptima and provide direction to staff
- October 2015 – Authorized the Executive Director to pursue a potential Intergovernmental Transfer (IGT) transaction with CalOptima on behalf of community partners and return at the December 2015 meeting with a proposed plan and terms and conditions for Commission approval
- June 2014 – Annual Planning Meeting, Sustainability Strategies

**RECOMMENDED ACTIONS:**

1. Authorize payment of \$763,788 and any other amount required by the California Department of Health Care Services (DHCS) based upon actual enrollment figures to support an intergovernmental transfer (IGT) transaction with CalOptima.
2. Authorize payment of a 20 percent transaction fee in the estimated amount of \$157,758 for the purposes of supporting the IGT transaction.
3. Adopt resolution authorizing an agreement with DHCS for the transfer of First 5 Orange County funding, as referenced above, for purposes of providing the nonfederal share for an IGT for the rate year of January 1, 2022 through December 30, 2022, for system improvements in medical, psychological and social work support for treatment, and follow up and investigation of child abuse and maltreatment.

**ATTACHMENT:**

1. Resolution: California Department of Health Care Services – Intergovernmental Agreement Transfer of Public Funds

**Contact:** Kim Goll

**CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY**

**RESOLUTION NO. \_\_\_\_-23-C&FC**

**October 4, 2023**

**RESOLUTION OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY DIRECTING THE PRESIDENT/CEO AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AN AGREEMENT WITH CALIFORNIA DEPARTMENT OF HEALTH CARE SERVICES FOR THE NON-FEDERAL SHARE OF AN INTERGOVERNMENTAL TRANSFER TRANSACTION FOR THE PURPOSES OF SYSTEM IMPROVEMENTS IN MEDICAL, PSYCHOLOGICAL AND SOCIAL WORK SUPPORT FOR TREATMENT, AND FOLLOW UP AND INVESTIGATION OF CHILD ABUSE AND MALTREATMENT; AND AUTHORIZING APPROVAL AND EXECUTION OF SUCH AGREEMENT ON BEHALF OF THE COMMISSION**

**WHEREAS**, in order to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development, the legislature adopted legislation set forth in the California Children and Families Act of 1998, Health and Safety Code Section 130100, *et seq.* (as amended, the “Act”) implementing the Children and Families First Initiative passed by the California electorate in November, 1998 and establishing the California Children and Families Commission and County Children and Families Commissions, including this Children and Families Commission of Orange County (“Commission”); and

**WHEREAS**, Commission adopted its Strategic Plan to define how funds authorized under the Act and allocated to the Commission should best be used to meet the critical needs of Orange County’s children prenatal to five years of age as codified in the Act; and

**WHEREAS**, the Commission desires to enter into an Agreement (“Agreement”) with the California Department of Health Care Services (DHCS), hereinafter referred to as “Contractor,” for the non-federal share of an Intergovernmental Transfer (IGT) transaction for the terms and in the amounts as specified in the October 4, 2023 staff report, including Contractor’s transaction assessment fee, for purposes of system improvements in medical, psychological and social work support for treatment, and follow up and investigation of child abuse and maltreatment; and

**WHEREAS**, Contractor desires to enter into the Agreement with Commission in furtherance of the purposes of the Act and the Strategic Plan on the terms and conditions set forth in the applicable Agreement; and

**WHEREAS**, Commission has reviewed the staff report for the October 4, 2023 Commission meeting relating to the purpose provided and hereby finds and determines that the proposed Agreement is in furtherance of and consistent with the Commission’s Strategic Plan; and

**WHEREAS**, Commission desires to authorize the Commission Chair and Commission Clerk to execute the Agreement with the Contractor in the amount and for the terms as specified in the October 4, 2023 staff report for this Agenda Item;

**NOW, THEREFORE, BE IT RESOLVED BY THE COMMISSIONERS OF THE CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY AS FOLLOWS:**

**Section 1** Commission finds and determines the foregoing Recitals are true and correct and are a substantive part of this Resolution.

**Section 2** Commission authorizes the President/CEO, or designee, and Commission Counsel to prepare and negotiate the Agreement(s) with the Contractor using the Contractor's contract template for the non-federal share of an IGT transaction for system improvements in medical, psychological and social work support for treatment, and follow up and investigation of child abuse and maltreatment.

**Section 3** Commission hereby approves the Agreement(s) with Contractor for the terms and in the amounts as specified in the October 4, 2023 staff report for this agenda item, including Contractor's transaction assessment fee, for the non-federal share of an IGT transaction for system improvements in medical, psychological and social work support for treatment, and follow up and investigation of child abuse and maltreatment.

**Section 4** The Commission Chair and the Clerk of the Commission are hereby authorized to execute and attest, respectively, the Agreement on behalf of the Commission.

**Section 5** A copy of the Agreement(s) when executed by the Commission Chair and Attested by the Clerk of the Commission shall be appended hereto as a part of Exhibit A to this Resolution. Exhibit A is hereby fully incorporated as a part of this Resolution by this reference and made a part hereof. The final executed Agreement(s) shall be placed on file in the office of the Clerk of the Commission.

**Section 6** In addition to the authorization of Section 2 above, the President/ CEO, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreement(s), including any Amendments (ii) to cause the issuance of warrants, (iii) to administer the Commission's obligations, responsibilities, and duties to be performed under such agreement(s), and (iv) during the term thereof to provide waivers, administrative interpretations, and minor modifications of the provisions of such agreement(s) in the furtherance thereof.

**Section 7** The Clerk of the Commission shall certify to the adoption of this Resolution.

The foregoing resolution was passed and adopted by the following vote of the Children and Families Commission of Orange County on October 4, 2023 to wit:

AYES Commissioners: \_\_\_\_\_

NOES Commissioner(s): \_\_\_\_\_

EXCUSED Commissioner(s): \_\_\_\_\_

ABSTAINED Commissioner(s): \_\_\_\_\_

\_\_\_\_\_  
CHAIR

STATE OF CALIFORNIA    )  
  )  
COUNTY OF ORANGE    )

I, ROBIN STIELER, Clerk of the Commission of Orange County, California, hereby certify that a copy of this document has been delivered to the Chair of the Commission and that the above and foregoing Resolution was duly and regularly adopted by the Children and Families Commission of Orange County.

**IN WITNESS WHEREOF**, I have hereto set my hand and seal.

\_\_\_\_\_  
ROBIN STIELER

Clerk of the Commission, Children and Families Commission of  
Orange County, County of Orange, State of California

Resolution No: \_\_-23-C&FC

Agenda Date: October 4, 2023

Item No. \_\_



I certify that the foregoing is a true and correct copy of the  
Resolution adopted by the

ROBIN STIELER, Clerk of the Commission

By: \_\_\_\_\_  
Deputy

**EXHIBIT A TO RESOLUTION OF COMMISSION**

(Attach copy(ies) of final executed Agreement(s))

**DATE:** September 26, 2023  
**TO:** First 5 Orange County  
**FROM:** Kimberly Goll, President/CEO



**ACTION:** Receive the President/Chief Executive Officers Report

---

### **Action Plan Update**

We have begun implementing and tracking progress on the new Action Plans for 2023-2024. Attached is a summary matrix giving an overarching view of the Action Plans, staff leads, and current progress status (Attachment 1). A more detailed summary of accomplishments and challenges for each Action Plan is provided as Attachment 2. We will continue to provide these summary and detailed reviews as part of every CEO's report.

### **Family Ambassadors' Action Plan**

Family Ambassadors began participating in First 5 OC's work in December of 2021. These inaugural ambassadors have completed nearly two years with us, and over that time have contributed significantly to our organizational endeavors. Family Ambassadors meet altogether every other month, with focused committee or workgroup meetings such as the Equity Commitment workgroup and the Protective Factors committee, in the intervening months. We compensate them for their active engagement with First 5 OC, including reimbursement for child care, if needed, during meeting times. Our Family Ambassadors also participate in many community events, collaborating with staff and disseminating vital resources to families in need.

Like the Action Plans that First 5 OC staff develop for key areas of work, our Family Ambassadors have also created an Action Plan that is in alignment with First 5's overarching pursuit of equitable access to resources. Following are the primary components of the Family Ambassadors' Action Plan.

- **Family-Centered Fair:** This is envisioned as a dynamic platform facilitating direct dialogue between resource providers and families, thereby effectively addressing resource gaps. Family Ambassadors will use Early Development Index (EDI) data to pinpoint optimal geographic areas for hosting this fair, underscoring their data-driven approach.
- **Civic Engagement:** In collaboration with our Partnership and Government Affairs team, Family Ambassadors formed a committee to educate families about the process of civic engagement within public arenas.
- **Family Ambassador Recruitment:** As we enter the third year of First 5 OC's family engagement initiative, we have begun recruitment for twelve new Family Ambassadors with outreach across Engaged Neighborhoods, school districts, and key partners. Current Family Ambassadors will stay on to collaborate with newly onboarded peers, to promote continuity and knowledge transfer, and forging parent-to-parent connections.



### **Prenatal Efforts Moving Forward**

In August 2023, the First 5 OC Board approved a resolution allowing us to move forward with a targeted prenatal strategy that leverages existing resources and includes expanded outreach. Our strategy is to provide proactive prenatal interventions through agreements with three contracting partners – MOMS Orange County, Padres Unidos, and Children's Hospital of Orange County (Help Me Grow) – to mitigate barriers that contribute to high birth-related risks, promote healthier birth outcomes, support optimal maternal mental health, prioritize prenatal care, and create better birth experiences and post-partum recoveries.

The Health Systems and Family Resilience team has worked closely with partners to create the scopes of work, execute agreements, develop the evidence informed curriculum, and outline a timeline to support efficient project ramp up with a targeted service launch date of January 2024. Over the next few months, we will:

- Establish partnerships and/or Memorandums of Understanding with community partners (i.e., Family Resource Centers, Family trusted Nonprofit Organizations, etc.) in the targeted communities.
- Work with prenatal partners to create pre- and post-assessment tools and finalize a group series curriculum.
- Recruit and employ staff, leveraging partnerships or quality translation services in order to speak the language of the diverse populations in the target regions to be served, and deliver culturally responsive services.
- Coordinate, attend, and participate in meetings pertaining to the CalAIM Community Health Worker benefit.
- Work with partners to execute a robust and widespread outreach campaign to build awareness and knowledge of the prenatal group series.

### **Quarterly Investment Report**

Pursuant to First 5 Orange County's Fiscal Year 2022-2023 Investment Policy Statement, the Orange County Treasurer submits Quarterly Investment Reports to the Commission. The Investment Report (Attachment 3) summarizes investment activities for the three-month period of April 1 through June 30, 2023. The primary objective of the Treasurer is to invest First 5 Orange County's funds to provide safety of principal and liquidity, while providing a reasonable return on investments. Currently, the Treasurer has invested 100 percent of First 5 OC's funds in the Orange County Investment Pool (OCIP).

### **First 5's 25-year Anniversary**

November marks 25 years since voters approved Proposition 10, creating children and families commissions throughout California. First 5s throughout the state work to ensure young children have a strong start in life so that they are healthy and developmentally ready for kindergarten, with nurturing family and community support. These goals are consistent across the state, while specific strategies have evolved and changed over the years, and each county has implemented initiatives to meet their unique needs.

The Communications team has been working on ideas to celebrate our 25-year anniversary. This includes a suite of materials to kick off the 25<sup>th</sup> year, such as highlighting 25 years of accomplishments with a media pitch and a social media campaign about the important work of

F5OC over 25 years and the need to keep this impactful work going. Additionally, we are creating a campaign to be implemented throughout this year to tell a more complex story of our work including partnership building and system improvements. We anticipate including site visits for legislators and community leaders as part of this campaign. We also plan to weave in stories of children who received services early and the impact it had on their lives.

### **Kid Builders Continues Family Engagement**

We continue to have great interaction with families through Kid Builders, both hosting events highlighting Kid Builder activity stations, as well as providing information through a table at partners' events. We have been sharing these events with you through weekly updates and posting on social media, and we are creating a tracking mechanism for community events in our data platform, High 5. We are also working on an Instagram contest to promote Kid Builders and gain even more engagement on social media. Contestants will enter by tagging First 5 OC's Instagram with a video of their child or children participating in Kid Builder activities for an opportunity to have professional pictures taken of their family. Three submissions will be randomly selected to win mini-family photo sessions. We anticipate holding an initial, countywide contest in November, and then working with the Engaged Neighborhoods to tailor contests to each community throughout the coming year. Follow along on Instagram at @first5oc!

### Summary of First 5 Orange County Action Plans for 2023-2024

Action Plan	Staff Lead	Status
1. Increase awareness and use of Kid Builders in Orange County	Lisa Burke	On Track
2. Build universal school district support for a realignment of work focused on connection to child care, family engagement, and linkage to health systems and services	Lisa Burke	On Track
3. Implement home visiting regional work plans for state funded program management and technical assistance	Andrew Montejo	On Track
4. Implement Orange County's home visiting work plan for state funded program management and technical assistance	Yvette Nuñez	On Track
5. Develop a performance management reporting structure for Prenatal to Three reporting agencies	Yvette Nuñez	Not Started
6. Assess feasibility and if feasible develop strategy to the Community Health Worker benefit to support sustainability for Prenatal to Three services	Sara Brown	On Track
7. Expand First 5 OC-funded services to prenatal families	Sara Brown	On Track
8. Increase use of and integrate plans of safe care in Orange County	Yvette Nuñez	On Track
9. Increase stakeholder commitment to advance policy for early childhood	Tiffany Alva	On Track
10. Increase access to quality infant and toddler child care	Cristina Blevins	On Track
11. Develop an accountability plan for First 5's Equity Commitment	Lisa Burke	Not Started
12. Develop countywide vision and action plan for continuum of care for Early Relational Health	Anaiah Brown	Delayed but Making Progress
13. Increase Well-Child Visits, developmental screens and linkage to service	Lisa Burke, Sara Brown	On Track
14. Assist doulas in utilizing the Doula Benefit in Orange County	Anaiah Brown	On Track
15. Increase number of communities and families that are empowered changemakers and have access to resources	Cristina Blevins	On Track

# First 5 Orange County Action Plans 2023-2024

## 1. Increase awareness and use of Kid Builders in Orange County

**Accomplishments:** We held a successful Kid Builder event in Garden Grove, in partnership with Supervisor Sarmiento's office. More than 250 families with young children participated along with more than 40 community organizations providing services for families. Our Partnership and Government Affairs team is working on similar event with Supervisor Do's office in December. We have held initial meetings with child care providers and health experts to begin building Kid Builder "toolkits" tailored to child care providers and pediatric health care settings. Additionally, we secured a sponsor for Kid Builder events and materials to help offset costs and allow broad community engagement.

**Challenges:** N/A

## 2. Build universal school district support for a realignment of work focused on connection to child care, family engagement, and linkage to health systems and services

**Accomplishments:** We convened an Ad Hoc committee of First 5 OC board members to provide input and recommend strategies to reduce funding and refine the focus of our partnership with school districts. Our school district consultant has held three focus groups with early learning specialists to socialize the funding reduction along with a reduced and refocused scope of work. She has also begun holding meetings with leadership from individual school districts, which will continue in the coming months in order to meet with all 25 school districts in preparation for a December 2023 First 5 OC Board action for future school district agreements.

**Challenges:** The reduction will require a narrowing in scopes of work and focus areas, and some school districts need additional time and conversation to adjust. We are continuing to reach out, respond to questions, and help school districts process what their First 5-funded early learning work will look like going forward.

## 3. Implement home visiting regional work plans for state funded program management and technical assistance

**Accomplishments:** The primary work over the past few months has been to develop the administrative infrastructure, as First 5 OC is the lead agency for the region. We have executed contracts with the other First 5s in Region 9 and have coordinated with the regional leads to set up regular meetings to keep them informed and engaged in the work. As lead, we are also in

## Attachment 2

### Summary of Progress on Strategic Plan Action Plans

October 2023

regular contact with the consultant, HMA, to refine and strategize how to implement the regional work.

**Challenges:** The various First 5s in Region 9 are at different places in implementing home visiting. For example, Imperial County does not yet have home visiting in place, which others have implemented home visiting programs for years. As a result, we need to take the time to answer questions and get everyone on the same page, ensuring the work is moving forward but not faster than what our partners are able to handle.

#### 4. Implement Orange County's home visiting work plan for state funded program management and technical assistance

**Accomplishments:** We have had consistent participation from partners at the Home Visiting collaborative. We are meeting in person which helps to build relationships. After several iterations of a referral pathways document for prenatal services, we are poised for final review and approval by the collaborative. The group is shifting to discussions of how best to operationalize the prenatal pathway and the development of a comparable workflow for postpartum referrals. The Home Visiting Collaborative has also been working to craft culturally sensitive communication around home visiting, with a goal of completing this by the end of the year.

**Challenges:** Less a challenge than a consideration is how we keep the Home Visiting Collaborative work top of mind for members outside of our formal meetings. First 5 OC staff have played an important role in sharing updates on countywide developments with members and encouraging transparency and, where possible, collaboration when it comes to planning for new funding opportunities (e.g., CYBHI Round 3 funding, SSA CalWORKS Home Visiting).

#### 5. Develop a performance management reporting structure for Prenatal to Three reporting agencies

**Accomplishments:** Not started.

**Challenges:** N/A

#### 6. Assess feasibility and if feasible develop strategy to the Community Health Worker benefit to support sustainability for Prenatal to Three services

**Accomplishments:** Our primary work in this area over the past few months has been to build our understanding of the Community Health Worker (CHW) benefit, how we can get people trained as a CHW, and how it can help with sustainability of our programs. We have been working with three prenatal partners – MOMS Orange County, Padres Unidos, and Help Me Grow – as well as Engaged Neighborhoods to participate in a CHW certification program that launches October 9<sup>th</sup>.

## Attachment 2

### Summary of Progress on Strategic Plan Action Plans

October 2023

**Challenges:** It's challenging because the CHW is such a new program – dates for training are changing, course requirements and criteria are evolving, and yet there is some urgency to get this new CalAIM benefit operational and to find the right fit for First 5 to support the effort.

#### 7. Expand First 5 OC-funded services to prenatal families

**Accomplishments:** We have executed contracts with three providers to expand prenatal services, including MOMS Orange County, Padres Unidos, and Help Me Grow OC. Together, we are creating the prenatal curriculum and we have established regular meetings and a timeline to launch services at beginning of the New Year. We are using the learnings from our Vital Village for this work; the Vital Village pilot project will wrap up in November.

**Challenges:** We are experiencing the typical challenges of starting a new program – creating and then training on new curriculum, and onboarding new staff, but nothing surprising or unexpected.

#### 8. Increase use of and integrate plans of safe care in Orange County

**Accomplishments:** The Family Treatment Task Force continues to expand in participation; the newest great additions are the Regional Center of Orange County staff that work with the hospital NICU's. We are very engaged in two work groups, the Hospital work group and the Coordination of Care work group. The Coordination of Care workgroup is developing a unified Plan of Safe Care template; at present, various organizations use different templates – home visitors, obstetricians, hospital staff – so the goal is to create a single template that all can use. It is expected this template will be unveiled at the Plan of Safe Care summit that is scheduled for October.

**Challenges:** This work is slow-going as it is creating both culture and practice change for how we as a county approach and support mothers with substance use disorders.

#### 9. Increase stakeholder commitment to advance policy for early childhood

**Accomplishments:** Staff has begun attending meetings at the Board of Supervisors and CalOptima as part of relationship building. We held an internal meeting to a partnership and government affairs component to our data platform, High 5, so that we can track interactions with government officials and partners. We have outreach to begin scheduling site visits with our OC delegation. We hosted a successful Kid Builder community fair with Supervisor Sarmiento's office on Saturday, September 9<sup>th</sup>.

**Challenges:** N/A

**Attachment 2**  
**Summary of Progress on Strategic Plan Action Plans**  
October 2023

## 10. Increase Access to Quality Infant and Toddler Child Care

**Accomplishments:**

- Small Business Incubator: Two cohorts, equaling about 38 providers, have completed the 8-week child care business incubator series. Of these, one has received a license, and 10 have applied for a license which could lead to about 40 new infant/toddler slots. Some of this work transitioned from the Women's Business Center to the Small Business Development Center, which has led to less attrition in participation in the cohort.
- IMPACT: We have been working with First 5 Riverside, who is serving as the regional hub for this grant. We have executed our agreement with F5 Riverside and are executing agreements with our local partners.
- Child Care Task Forces: The Cross-Sector Task Force met on September 7<sup>th</sup>, with 21 members participating. The group continues to be engaged, and we are working on developing a metrics dashboard and specific metrics per work group to keep the focus on actionable results. We completed videos of six members of the Child Care Cross-Sector Task Force talking about why the issue is important and their participation in the task force. We also created a template for Instagram "did you know" campaign which launches in September.

**Challenges:** Transitioning IMPACT work from 100 percent pass through of dollars to Orange County Department of Education (OCDE) to a partnership/collaborative approach with funding allocated to several partners has been a challenge. To address this challenge, we have changed our strategy to begin holding local consortium meetings with all IMPACT partners, and engaging more actively in the regional HUB meetings. Additionally, getting access to real time data continues to be a challenge. We are meeting with Children's Home Society and licensing about the ability to pull the data consistently and create a dashboard that is updated regularly, but first we need to understand their capacity to pull the data with limited staff who have access to it.

## 11. Develop an accountability plan for First 5's Equity Commitment

**Accomplishments:** This work has not yet started. We have a meeting scheduled at the end of September to plan out our work effort for the next several months.

**Challenges:** N/A

## 12. Develop countywide vision and action plan for continuum of care for Early Relational Health

**Accomplishments:** This action plan is in progress but delayed. We have successfully convened a group of stakeholders who have been essential in a collaborative effort to form a continuum of care for Early Relational Health in Orange County. The next step for this action plan is First 5 OC Board selection of a consultant to support countywide visioning with stakeholders in Early

## Attachment 2

### Summary of Progress on Strategic Plan Action Plans

October 2023

Relational Health (Item 7 on the October Board agenda). The consultant is essential to this process, bringing their expertise and prior experience in this space.

**Challenges:** N/A

### 13. Increase Well-Child Visits, Developmental Screens and Linkage to Service

**Accomplishments:** Detect & Connect OC is moving forward with developing a communications campaign with the Shared Messaging working group. They (and the Detect & Connect OC Steering Group) have recommitted to this desired outcome and the Shared Messaging working group meets again on September 25, 2023 to move this forward. The System of Care Working group and the Steering Group have also both met and discussed opportunities to improve Speech and Language services, and there is great interest in working in this area.

All the HealthySteps clinics report good progress on fully implementing the HealthySteps program and are meeting their WCV, Developmental Screening, and other performance metrics (screening for maternal depression, etc.). We have representatives from all of the Healthy Steps FQHCs integrated into both the Detect & Connect OC Steering Group and the System of Care Working Group, and they have already done a great job contributing to and invigorating the conversation.

**Challenges:** We anticipate that a challenge will be agreeing on how a shared message gets disseminated by all Detect & Connect OC partners since each has their own marketing approval process. We have discussed this as a group, but there may still be challenges as we get into implementation. The completion of this desired outcome is behind our original timeline but we are moving forward. It has helped that Detect & Connect is now meeting again in person and we've committed to a new meeting schedule. Additionally, it is taking longer than hoped for the Detect & Connect System of Care working group to agree on a specific objective for improvement speech and language services, particularly as the Steering Committee is very engaged and adding another layer of complexity in thinking about the issue from a systems perspective.

In terms of HealthySteps implementation, we have two clinics that have high volumes of pediatric patients, and we have two clinics that are struggling to maintain a pediatric patient volume that will generate enough revenue to sustain the additional services. We will be working with each of the two clinics to develop strategies that have the potential to increase pediatric patient volume such as outreach into the communities and linkage to First 5 OC funded programs like the Hospitals Program, the newly developed prenatal support program, home visiting and engaged neighborhoods. We also will be providing additional technical assistance so that clinics are well positioned to use the licensed clinic staff to capture billing for all the behavioral health services.

### 14. Assist doulas in utilizing the Doula Benefit in Orange County

**Accomplishments:** Since the Board's approval of the doula stipend program, we have been working to support the successful rollout of an equitable doula stipend application and process.



## Attachment 2

### Summary of Progress on Strategic Plan Action Plans

October 2023

We are in the final stages of completing the application and contracting process; we anticipate launching the request for applications in October 2023.

**Challenges:** N/A

#### 15. Increase number of communities and families that are empowered changemakers and have access to resources

**Accomplishments:** We brought together a workgroup to brainstorm how to bring our community and family engagement programs (Engaged Neighborhoods and Family Ambassadors and other related efforts) under one umbrella rather than having separate programs that can result in a lack of integration and coordination. We are also finalizing a spectrum for family ambassador engagement as well as planning out tiers of engagement for future Engaged Neighborhood work. Applications for new Family Ambassadors have been vetted and we will be conducting interviews this month for an October/November onboarding process. We had 60 parents apply and we have had an increase in fathers applying. A new family engagement plan is designed to assign family ambassadors to specific projects internally. Our next steps are to design an external engagement toolkit for partners to begin offering parent engagement positions. We're also creating 'next steps' for parents to graduate into other mentorship programs.

We have also purchased the licenses for the data systems needed to create online training and certification for legal problem-solving modules related to family law, IEPs and immigration.

**Challenges:** A significant challenge for the Family Ambassador program is scheduling working parents with our own team's schedule. This year we plan to change the meeting scheduling to split the group into two - one in the morning and another in the evening. Additionally, we are planning to conduct an evaluation of our family engagement work but are not finding many assessment tools to work with.

**First 5 Orange County, Children & Families Commission**  
**Quarterly Investment Report**  
**April 1, 2023 through June 30, 2023**

## **OVERVIEW**

Pursuant to the First 5 Orange County, Children & Families Commission (Commission) fiscal year 2022/2023 Investment Policy Statement (IPS), the Treasurer submits this Quarterly Investment Report to the Commission. This Investment Report summarizes investment activities for the Commission for the three-month period from April 1 through June 30, 2023.

## **COMMISSION INVESTMENTS**

The primary objective of the Treasurer is to invest the Commission's funds to provide safety of principal and liquidity, while providing a reasonable return on investments. Currently, the Treasurer has invested 100% of the Commission's funds in the Orange County Investment Pool (OCIP). As of June 30, 2023, these totaled \$68,063,483.91. All funds are managed by the Office of the Orange County Treasurer. We have attached a summary of key OCIP investment information (Attachment A).

## **ORANGE COUNTY INVESTMENT POOL**

The primary goal of the OCIP is to invest public funds in a manner which will provide the maximum security of principal invested with secondary emphasis on providing adequate liquidity to Pool Participants and lastly to achieve a market rate of return.

## **PORTFOLIO PERFORMANCE SUMMARY – QUARTERLY**

The following table presents an overview of the Commission's investments for the months of April, May, and June 2023. The fiscal year 2022-2023 OCIP net yield is 2.55%, higher than the original forecasted gross and net yields of 1.86% and 1.80%, and the revised forecast gross and net yields of 2.50% and 2.45%. In December 2022, the County Treasurer changed to reporting and apportioning gross interest yields using all pooled funds (renamed as the Orange County Treasurer's Pool), which is consistent with other peer counties, versus reporting yields separately by OCIP. We will provide OCTP summary of investment data beginning in fiscal year 2023-2024. We expect to provide our forecasted gross and net yields and the estimated investment administrative fee for fiscal year 2023-2024 next month.

Month Ended	Commission's Month End Balance	Commission's Monthly Gross Yield	OCIP Market Value	OCIP Book Value	Weighted Average Maturity	Net Asset Value	Modified Duration
April	\$66,665,857.87	3.539%	\$6,903,425,999	\$6,969,431,675	209 days	0.99	0.70
May	\$68,126,483.04	3.596%	\$6,092,473,079	\$6,156,932,409	227 days	0.99	0.84
June	\$68,063,483.91	3.732%	\$5,862,622,195	\$5,920,645,669	225 days	0.99	0.91

During the fourth quarter, short-term rates have risen again, causing the OCIP and Commission's market value to continue to drop below book value (see the narrative on U.S. Treasury rates below). The OCIP maintains sufficient liquidity to meet projected cash flow needs. The OCIP market value is sensitive to changes of interest rates as it invests 100% in fixed income investments. With a month end balance of \$68.1 million and duration of 0.91, every 1% increase in short term interest rates would have an additional estimated \$619,378 decrease in the value below book value.

## **ECONOMIC UPDATE**

The U.S. economy had strong employment gains and continued high inflation in the second quarter of 2023. Employment gains were 244,000 per month, lower than the previous quarter's 345,000 per month. Headline inflation remained elevated at 3.1% year over year, yet lower than the previous quarter's 5.0%. Core inflation, which excludes food and energy, increased 4.9% from a year ago, the highest level since 1991. The Federal Open Market Committee (FOMC) raised the Fed Funds Rate (Rate) to a range of 5.00-5.25% on May 3 and held rates at that range for their meeting on June 14, 2023, up 0.25% from March 31, 2023. The bond market is pricing another rate increase at the next FOMC meeting on July 26, 2023. Some U.S. economic releases covering the second quarter of 2023:

- The unemployment rate increased to 3.6% (survey: 3.6%) at the end of the second quarter, up 0.1% from the prior quarter.

- The Empire State Manufacturing Index increased to 6.6 (survey: -15.1) from -24.6 in the first quarter while the Philadelphia Fed Index rose to -13.7 (survey: -14.0) from -23.2 at the end of the first quarter. The Federal Reserve uses these indexes as regional economic gauges with a positive reading signaling economic expansion.

The Treasury yield curve rose as all interest rates increased during the second quarter. The 90-day Treasury Bill yield increased to 5.30 from 4.75%. The 2-year Treasury Note yield declined to 4.90% from 4.03% while the 10-year Treasury Bond yield decreased to 3.80% from 3.47%.

## COMPLIANCE MONITORING

As of June 30, 2023, 100% of the holdings of the Commission were in compliance with the Commission's IPS. There was one IPS compliance exception in the month of June 2023 when a designated individual did not file their leaving office Form 700 in June 2023 as required

The County Treasurer's investments are audited regularly by the County Auditor-Controller, Internal Division (ACID). The ACID issued three reports (Attachment D, E, and F) during the quarter ended June 30, 2023, as the follows:

### Review of the Schedule of Assets Held by the County Treasury as of June 30, 2022 (Attachment D).

The investment portfolios had no IPS compliance exceptions in the month of April 2023. On April 18, 2023, Eide Bailly (contracted by the Auditor-Controller) opined that the Schedule of Assets Held by the County Treasury presents fairly, in all material respects, the assets held in the County Treasury as of June 30, 2022, in accordance with the modified basis of accounting as described in the notes to the financial schedule.

### Compliance Monitoring of Treasurer's Investment Portfolio for Quarter Ended September 30, 2022 (Attachment E).

On June 2, 2023, the Auditor-Controller issued their report on Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended September 30, 2022, that stated no compliance exceptions were identified.

### Second Follow-up Audit of Management Letter on Review of the Schedule of Assets as of December 31, 2020 (Attachment F).

On June 27, 2023, the Auditor-Controller issued the Second Follow-Up Audit: Management Letter on Review of the Schedule of Assets Held by the County Treasury as of December 31, 2020. This Follow-Up Management Letter stated that the status of the finding was not implemented as the Northern Trust Money Market Mutual Fund was not yet set up in Quantum. As the Treasurer took immediate corrective action at the time of the finding to cease all future purchases of this Money Market Mutual Fund investment, the Treasurer no longer invests in this security and believes this finding is no longer applicable and ensures that all County Treasury assets are recorded or reconciled with the investment accounting system.

We have attached the Investment Policy (IPS) and Treasury Oversight Committee Compliance Summary as reported in the Treasurer's Monthly Report for the months of April, May, and June 2023 (Attachment B). This summary tracks compliance in a variety of areas.

## STATEMENT OF ACTIVITY

We have attached the Statement of Activity for the months of April, May, June 2023. (Attachment C). These Statements report the beginning and ending balances of the Commission's funds invested in the OCIP.

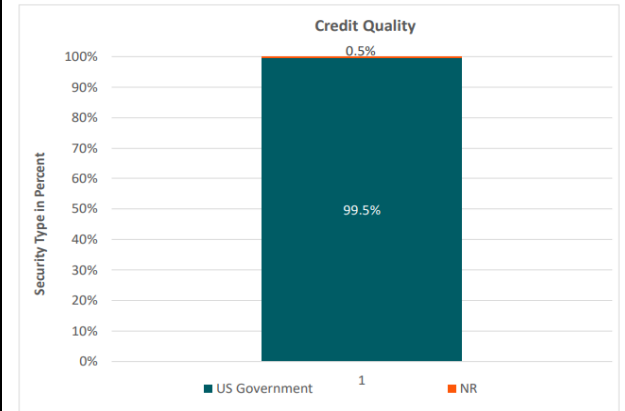
### Attachments:

- A. Orange County Investment Pool Summary.
- B. Investment Policy and Treasury Oversight Committee Compliance Summary for April, May, and June 2023.
- C. Statement of Activity for the months of April, May, and June 2023.
- D. Report of the Schedule of Assets as of June 30, 2022.
- E. Compliance Monitoring of the Treasurer's Investment Portfolio for Quarter Ended September 30, 2022.
- F. Second Follow-up Audit of the Management Letter on Review of the Schedule of Assets as of December 31, 2020.

**ORANGE COUNTY TREASURER-TAX COLLECTOR  
ORANGE COUNTY INVESTMENT POOL  
INVESTMENT POOL SUMMARY  
AT JUNE 30, 2023**

Attachment A

OCIP PORTFOLIO COMPOSITION				
Security Type	Market Value <sup>1</sup>	% of Market Value	Book Value <sup>1</sup>	Unrealized Gain (Loss)
U.S. GOVERNMENT AGENCIES	\$ 4,059,640,737	69.25%	\$ 4,075,840,324	(16,199,587)
U.S. TREASURIES	1,091,123,501	18.61%	1,132,947,388	(41,823,887)
MONEY MARKET MUTUAL FUNDS	682,852,793	11.65%	682,852,793	-
LOCAL AGENCY INVESTMENT FUND	29,005,164	0.50%	29,005,164	-
<b>TOTAL</b>	<b>\$ 5,862,622,195</b>	<b>100.00%</b>	<b>\$ 5,920,645,669</b>	<b>\$ (58,023,474)</b>



**SUMMARY OF INVESTMENT DATA  
INVESTMENT TRENDS  
OCIP**

	JUNE 2023	MAY 2023	INCREASE (DECREASE)	NET CHANGE %	JUNE 2022	INCREASE (DECREASE)	NET CHANGE %
<b>Orange County Investment Pool (OCIP)</b>							
End Of Month Market Value <sup>1</sup>	\$ 5,862,622,195	\$ 6,092,473,079	\$ (229,850,884)	-3.77%	\$ 5,790,272,296	\$ 72,349,899	1.25%
End Of Month Book Value <sup>1</sup>	\$ 5,920,645,669	\$ 6,156,932,409	\$ (236,286,740)	-3.84%	\$ 5,881,937,318	\$ 38,708,351	0.66%
Monthly Average Balance	\$ 6,054,918,614	\$ 6,580,050,682	\$ (525,132,068)	-7.98%	\$ 6,035,299,764	\$ 19,618,850	0.33%
Year-To-Date Average Balance	\$ 6,226,390,631	\$ 6,241,978,997	\$ (15,588,366)	-0.25%	\$ 5,868,491,101	\$ 357,899,530	6.10%
Monthly Accrued Earnings <sup>2</sup>	\$ 18,716,256	\$ 20,265,091	\$ (1,548,835)	-7.64%	\$ 3,858,192	\$ 14,858,064	385.10%
Monthly Net Yield <sup>2</sup>	3.732%	3.566%	0.166%	4.66%	0.702%	3.030%	431.62%
Year-To-Date Net Yield <sup>2</sup>	2.553%	2.451%	0.102%	4.15%	0.471%	2.082%	441.95%
Annual Estimated Gross Yield <sup>3</sup>	2.500%	2.500%	0.000%	0.00%	0.523%	1.977%	378.01%
Weighted Average Maturity (WAM) <sup>4</sup>	225	227	(2)	-0.88%	282	(57)	-20.21%

<sup>1</sup> Market value provided by Bloomberg and Northern Trust. Market values for OCIP is lower than the book value. Short-term rates have risen sharply this past year, causing the market value on this pool to be slightly below book value. The OCIP has sufficient liquidity to meet projected cash flow needs.

<sup>2</sup> The OCIP Monthly Accrued Earnings, Monthly Net Yields and Year-To-Date Net Yield are higher than the prior year due to an increased average monthly balance and higher interest rate, with the FOMC raising short-term rates by 3.50% since July 1, 2022.

<sup>3</sup> The OCIP Annual Estimated Gross Yield is higher than the prior year due to continued higher yields from short-term rate increases. The OCIP Annual Estimated Gross Yield for June 2022 is reported at the actual annual gross yields for FY 21-22.

<sup>4</sup> The OCIP WAM decreased from the prior year due to shorter term purchases in a rising interest rate environment.

**ORANGE COUNTY TREASURER-TAX COLLECTOR  
INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY  
April 30, 2023**

# Attachment B

COMPLIANCE CATEGORY	RESPONSIBLE PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Annual Compliance Audit as of June 30, 2023 not yet started and RFP for procurement of audit is in process.
Quarterly Compliance Monitoring	TOC	TOC Directive	September 30, 2022, December 31, 2022 and March 31, 2023 in progress.
Annual Schedule of Assets Audit	AC	Performance Evaluation-Cal Govt. Code 26920(b)	June 30, 2022 complete.
Quarterly Schedule of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	December 31, 2022 and March 31, 2023 in progress.
Investment Administrative Fee	TTC	Compensation Agreement-Cal Govt. Code 27013 and IPS Section XVI.	FY 21/22 reconciliation complete, refunds in progress.
Annual Broker/Dealer Review	TTC	Authorized Financial Dealers and Qualified Institutions	Calendar year 2022 in progress.
Annual Broker/Dealer IPS Certification	TTC	Authorized Financial Dealers and Qualified Institutions	2023 IPS certifications received from all approved brokers.
IPS Compliance Deficiencies	TTC	Investment/Diversification/Maturity Restrictions	FY 22/23 identified zero compliance incidents as of April 30, 2023.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the October 19, 2022 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the October 19, 2022 meeting and provided input on the proposed IPS changes. BOS approved on December 20, 2022.
TOC Annual Report	BOS	TOC Bylaws Rule 30 - Oral and Written Report	The TOC 2022 Annual Report was approved by TOC on January 25, 2023 and received by the BOS on May 9, 2023.
Broker/Financial Institution List	TTC	OC Gift Ban Ordinance and Form 700	The TOC members were provided a list of active TTC Broker/Dealers and Financial Institutions at the TOC meeting on October 19, 2022.
Certificates of Compliance	TTC	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2023.
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2022.
Conflict of Interest Form 700 Filing	TTC	TOC Bylaws Rule 34 / IPS - Every Year	All current TOC members and designated employees are in compliance for calendar year 2022.

LEGEND	
Auditor-Controller	AC
Board of Supervisors	BOS
Treasury Oversight Committee	TOC
Office of Treasurer-Tax Collector	TTC

**ORANGE COUNTY TREASURER-TAX COLLECTOR  
INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY  
May 31, 2023**

# Attachment B

COMPLIANCE CATEGORY	RESPONSIBLE PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Annual Compliance Audit as of June 30, 2023 not yet started and RFP for procurement of audit is in process.
Quarterly Compliance Monitoring	TOC	TOC Directive	September 30, 2022, December 31, 2022 and March 31, 2023 in progress.
Annual Schedule of Assets Audit	AC	Performance Evaluation-Cal Govt. Code 26920(b)	June 30, 2022 complete.
Quarterly Schedule of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	December 31, 2022 and March 31, 2023 in progress.
Investment Administrative Fee	TTC	Compensation Agreement-Cal Govt. Code 27013 and IPS Section XVI.	FY 21/22 refunds totaling approximately \$300,000 complete.
Annual Broker/Dealer Review	TTC	Authorized Financial Dealers and Qualified Institutions	Calendar year 2022 in progress.
Annual Broker/Dealer IPS Certification	TTC	Authorized Financial Dealers and Qualified Institutions	2023 IPS certifications received from all approved brokers.
IPS Compliance Deficiencies	TTC	Investment/Diversification/Maturity Restrictions	FY 22/23 identified zero compliance incidents as of May 31, 2023.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the October 19, 2022 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the October 19, 2022 meeting and provided input on the proposed IPS changes. BOS approved on December 20, 2022.
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Certificates of Compliance	TTC	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2023.
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2022.
Conflict of Interest Form 700 Filing	TTC	TOC Bylaws Rule 34 / IPS - Every Year	All current TOC members and designated employees are in compliance for calendar year 2022.

LEGEND	
Auditor-Controller	AC
Board of Supervisors	BOS
Treasury Oversight Committee	TOC
Office of Treasurer-Tax Collector	TTC

**ORANGE COUNTY TREASURER-TAX COLLECTOR  
INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY  
June 30, 2023**

# Attachment B

COMPLIANCE CATEGORY	RESPONSIBLE PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Annual Compliance Audit as of June 30, 2023 not yet started and RFP for procurement of audit is in process.
Quarterly Compliance Monitoring	TOC	TOC Directive	September 30, 2022 completed. December 31, 2022 and March 31, 2023 in progress.
Annual Schedule of Assets Audit	AC	Performance Evaluation-Cal Govt. Code 26920(b)	June 30, 2022 completed.
Quarterly Schedule of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	December 31, 2022 and March 31, 2023 in progress.
Investment Administrative Fee	TTC	Compensation Agreement-Cal Govt. Code 27013 and IPS Section XVI.	FY 21/22 refunds totaling approximately \$300,000 completed and posted to participant accounts in May 2023.
Annual Broker/Dealer Review	TTC	Authorized Financial Dealers and Qualified Institutions	Calendar year 2022 completed.
Annual Broker/Dealer IPS Certification	TTC	Authorized Financial Dealers and Qualified Institutions	2023 IPS certifications received from all approved brokers.
IPS Compliance Deficiencies	TTC	Investment/Diversification/Maturity Restrictions	FY 22/23 identified one compliance incident as of June 30, 2023.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the October 19, 2022 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the October 19, 2022 meeting and provided input on the proposed IPS changes. BOS approved on December 20, 2022.
TOC Annual Report	BOS	TOC Bylaws Rule 30 - Oral and Written Report	The TOC 2022 Annual Report was approved by TOC on January 25, 2023 and received by the BOS on May 9, 2023.
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Certificates of Compliance	TTC	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2023.
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2022.
Conflict of Interest Form 700 Filing	TTC	TOC Bylaws Rule 34 / IPS - Every Year	All current TOC members and designated employees are in compliance for calendar year 2022, and one designated employee has not filed their leaving office Form 700 in 2023.

LEGEND	
Auditor-Controller	AC
Board of Supervisors	BOS
Treasury Oversight Committee	TOC
Office of Treasurer-Tax Collector	TTC

# Attachment C



COUNTY OF ORANGE  
**OFFICE OF THE TREASURER-TAX COLLECTOR**  
Shari L. Freidenrich, CPA, CCMT, CPFA, ACPFIM  
P. O. BOX 4515  
SANTA ANA, CA 92702-4515



[octreasurer.com/publicfunds](http://octreasurer.com/publicfunds)

April 30, 2023

## FIRST 5 ORANGE COUNTY

Attn: Kimberly Goll, Executive Director  
1505 E. 17th Street, Suite 230  
Santa Ana, CA 92705

**Fund Number : 225**

## **APRIL 2023 STATEMENT**

### **INVESTMENT BALANCE IN OCIP**

#### **Transactions**

<b><u>Transaction</u></b> <b><u>Date</u></b>	<b><u>Transaction Description</u></b>	<b><u>Amount</u></b>
04/03/2023	March 2023 Investment Admin Fee	\$ (1,751.92)
04/26/2023	January 2023 Interest Paid	\$ 160,555.01

#### **Summary**

Total Deposit:	\$ 1,114,490.73	Beginning Balance:	\$ 67,593,067.21
Total Withdrawal:	\$ (2,041,700.07)	Ending Balance:	\$ 66,665,857.87





COUNTY OF ORANGE  
**OFFICE OF THE TREASURER-TAX COLLECTOR**  
 Shari L. Freidenrich, CPA, CCMT, CPFA, ACPFIM  
 P. O. BOX 4515  
 SANTA ANA, CA 92702-4515



[octreasurer.com/publicfunds](http://octreasurer.com/publicfunds)

May 31, 2023

**FIRST 5 ORANGE COUNTY**

Attn: Kimberly Goll, Executive Director  
 1505 E. 17th Street, Suite 230  
 Santa Ana, CA 92705

**Fund Number : 225**

**MAY 2023 STATEMENT**

**INVESTMENT BALANCE IN OCIP**

**Transactions**

<b><u>Transaction Date</u></b>	<b><u>Transaction Description</u></b>	<b><u>Amount</u></b>
05/01/2023	April 2023 Investment Admin Fee	\$ (1,690.66)
05/01/2023	FY 2021/2022 Investment Admin Fee Refund	\$ 1,668.01
05/22/2023	FY 2021/2022 Interest on Refund	\$ 43.21
05/30/2023	February 2023 Interest Paid	\$ 156,655.23

**Summary**

Total Deposit:	\$	5,067,552.76	Beginning Balance:	\$	66,665,857.87
Total Withdrawal:	\$	(3,606,927.59)	Ending Balance:	\$	68,126,483.04



COUNTY OF ORANGE  
**OFFICE OF THE TREASURER-TAX COLLECTOR**  
 Shari L. Freidenrich, CPA, CCMT, CPFA, ACPFIM  
 P. O. BOX 4515  
 SANTA ANA, CA 92702-4515



[octreasurer.com/publicfunds](http://octreasurer.com/publicfunds)

June 30, 2023

**FIRST 5 ORANGE COUNTY**

Attn: Kimberly Goll, Executive Director  
 1505 E. 17th Street, Suite 230  
 Santa Ana, CA 92705

**Fund Number : 225**

**JUNE 2023 STATEMENT**

**INVESTMENT BALANCE IN OCIP**

**Transactions**

<b><u>Transaction Date</u></b>	<b><u>Transaction Description</u></b>	<b><u>Amount</u></b>
06/01/2023	May 2023 Investment Admin Fee	\$ (1,733.92)
06/27/2023	March 2023 Interest Paid	\$ 191,737.49

**Summary**

Total Deposit:	\$ 1,704,708.27	Beginning Balance:	\$ 68,126,483.04
Total Withdrawal:	\$ (1,767,707.40)	Ending Balance:	\$ 68,063,483.91



Report of the Schedule of Assets  
Held by the County Treasury

June 30, 2022

Orange County Treasury

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## Independent Auditor's Report

To the Board of Supervisors  
County of Orange, California

### Report on the Audit of the Schedule of Assets

#### ***Opinion***

We have audited the accompanying modified cash basis Schedule of Assets Held by the County Treasury (Schedule) of the County of Orange, California (County) as of and for the year ended June 30, 2022, and the related notes to the Schedule.

In our opinion, the Schedule referred to above present fairly, in all material respects, the respective assets held by the County Treasury of the County, as of June 30, 2022, in accordance with the modified cash basis of accounting described in Note 1.

#### ***Basis for Opinion***

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (GAAS) and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States (*Government Auditing Standards*). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the County and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

#### ***Emphasis of Matter – Basis of Accounting***

We draw attention to Note 1 of the Schedule, which describes the basis of accounting. The Schedule is prepared on the modified cash basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.

### ***Responsibilities of Management for the Schedule of Assets***

Management is responsible for the preparation and fair presentation of the Schedule in accordance with the cash basis of accounting described in Note 1, and for determining that the modified cash basis of accounting is an acceptable basis for the preparation of the Schedule in the circumstances. Management is also responsible for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### ***Auditor's Responsibilities for the Audit of the Schedule of Assets***

Our objectives are to obtain reasonable assurance about whether the Schedule as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS and *Government Auditing Standards* will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the Schedule.

In performing an audit in accordance with GAAS and *Government Auditing Standards*, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the Schedule, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the Schedule.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the County's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the Schedule.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the County's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control–related matters that we identified during the audit.

### **Other Reporting Required by *Government Auditing Standards***

In accordance with *Government Auditing Standards*, we have also issued our report dated April 18, 2023, on our consideration of the County Treasury's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the County Treasury's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the County Treasury's internal control over financial reporting and compliance.

A handwritten signature in cursive script that reads "Eide Bailly LLP".

Laguna Hills, California  
April 18, 2023

Orange County Treasury  
Schedule of Assets Held by the County Treasury  
(Dollar Amounts in Thousands)  
June 30, 2022

---

	<u>Total</u>
Cash on Hand and in Banks	\$ 319,566
Orange County Treasurer's Pool	12,380,158
Specific Investment Accounts	<u>109,596</u>
Total assets	<u><u>\$ 12,809,320</u></u>



**Note 1 - Summary of Significant Accounting Policies**

The accompanying Schedule of Assets Held by the County Treasury (Schedule) is intended to separately report cash and investments in the County Treasury included in the basic financial statements of the County of Orange, State of California (County). For additional disclosure information and contingencies, please refer to the June 30, 2022 publication of the County's Annual Comprehensive Financial Report.

The Schedule includes the cash balances of all funds that the Office of the Treasurer-Tax Collector (Treasurer) invests according to California Government Code and the Treasurer's Investment Policy Statement (IPS). These public funds are called the Orange County Investment Fund (OCIF), which includes all cash and investment balances entrusted to the Treasurer and may include cash on hand, demand deposits, restricted cash, investments in Orange County Treasurer's Pool (OCTP) and specific investments such as the John Wayne Fund (JWA Fund). The OCTP is maintained for the County and other non-County entities for the purpose of benefiting from economies of scale through pooled investment activities and includes County, voluntary pool participants, and school and college district funds. The OCTP are not registered with the Securities and Exchange Commission ("SEC") as an investment company. The OCTP do not have any legally binding guarantees of share values.

The Schedule is presented on the modified cash basis, which is a comprehensive basis of accounting other than accounting principles generally accepted in the United States of America (U.S. GAAP). Receipts are recognized when received by the Treasurer; disbursements are recognized when paid by the bank; and the value of investments is stated at fair value. The Statement's modified cash basis primarily differs from the cash basis of accounting by the amount of outstanding checks of \$114,839 at June 30, 2022.

The Treasurer has stated required investments at fair value in the accompanying Schedule, using the fair value measurement within the fair value hierarchy established by U.S. GAAP.

The Treasurer values participants' shares in the pools using an amortized cost basis. Specifically, the OCTP distributes income to participants based on their relative participation during the period. Income is calculated based on (1) realized investment gains and losses calculated on an amortized cost basis, (2) interest income based on stated rates (both paid and accrued), (3) amortization of discounts and premiums on a straight-line basis and reduced by (4) actual administrative cost of such investing, depositing or handling of funds. This method differs from the fair value method used to value investments in this Schedule because the amortized cost method does not distribute to participants all unrealized gains and losses in the fair values of the pools' investments.

**Note 2 - Cash and Investments**

The elected Treasurer is responsible for authorizing all County bank accounts and pursuant to California Government Code (CGC) Sections 27000.1 – 27000.5, 27130 – 27137, and 53600 – 53686 is responsible for conducting County investment activities of the County's investment pooled funds (OCTP) and various non-pooled accounts, which by law, are defined as the Orange County Treasury. The non-pooled funds are called Specific Investments and include the John Wayne Airport Investment Fund (JWA).

The Treasurer further invests funds from the OCTP into three funds: The Orange County Money Market Fund (OCMMF), the Orange County Educational Money Market Fund (OCEMMF), and the Extended Fund.

Pursuant to CGC Sections 27130-27137, the Board has established a Treasury Oversight Committee (TOC) that monitors and reviews the IPS annually and also ensures that the Treasurer has an audit annually, which includes limited tests of compliance with laws and regulations. The TOC consists of the County Executive Officer, the elected County Auditor-Controller, the County Superintendent of Schools, or their respective designees, and four public members appointed by the Board of Supervisors, with at least three having expertise in, or an academic background in, public finance.

The investment practices and policies of the Treasurer are based on compliance with state law and prudent money management. The primary goal is to invest public funds in a manner which will provide maximum security of principal invested with secondary emphasis on providing adequate liquidity to pool participants. The last goal is to achieve a market rate of return within the parameters of prudent risk management while conforming to all applicable statutes and resolutions governing the investment of public funds. Interest is allocated to individual funds monthly based on the average daily balances on deposit with the Treasurer.

#### 1. Cash Deposits

Demand deposits of public funds at financial institutions that are not covered by the Federal Depository Insurance Corporation (FDIC) are required to be collateralized under CGC Section 53652 et. seq. and the IPS, which also prescribe the amount of collateral at market value that is required to secure these deposits. All such collateral is considered to be held by an agent of depository pursuant to CGC Section 53658. The pledge to secure deposits is administered by the California Department of Financial Protection and Innovation. Obligations pledged to secure deposits must be delivered to an institution other than the institution in which the deposit is made; however, the trust department of the same institution may hold them. Written agreements are required to provide, among other things, that the collateral securities are held separately from the assets of the custodial institution.

Collateral is required for demand deposits at 110% of all deposits not covered by FDIC Obligations of the United States and its agencies, or obligations of the State or its municipalities, school districts, and district corporations are pledged. Collateral of 150% is required if a deposit is secured by first mortgages or first trust deeds upon improved residential real property located in California. FDIC is available for demand deposits and time saving deposits at any one financial institution up to a maximum of \$250.

#### 2. Investments

The CGC Sections 53601 and 53635, Board ordinances and resolutions, the County's IPS, the bond indenture documents, trust agreements, and other contractual agreements govern the investments that may be purchased and may include certain restrictions on investment maturity, maximum portfolio percentages, term, value, credit quality and timing to minimize the risk of loss. The IPS adds further restrictions to permitted investments from the CGC. The current IPS expressly prohibits leverage, reverse repurchase agreements as defined by CGC Section 53601, structured notes, structured investment vehicles, derivatives and money market mutual funds that do not maintain a constant net asset value. As of June 30, 2022, the Treasurer was in full compliance with the CGC and the County's IPS for OCIF. Investments by the Treasurer are reported at fair value. Investments in the OCIF are marked-to-market on a daily basis.

Unless otherwise required in a trust agreement, educational districts (school and community college districts), including certain bond-related funds are required by legal provisions to deposit all monies received from any source with the County Treasurer. At June 30, 2022, the OCTP includes approximately 57.5% of these involuntary participant deposits. Involuntary (Education Code Sections 41001 and 41002) and other external pool participant funds (Government Code Section 27001.1) are deemed to be held in trust and such funds shall not be deemed funds or assets of the County and the relationship of the depositing entity and the County shall not be one of creditor-debtor.

#### Investment in County of Orange Taxable Pension Obligation Bonds 2022, Series A

On January 13, 2022, the OCTP purchased the County issued Taxable Pension Obligation Bonds 2022 (2022 POBs) in the principal amount of \$521,784. The 2022 POBs were issued with a fixed coupon rates ranging from to 0.68% and with maturities from July 2022 to April 2023 and are solely owned by the pooled funds in the OCIF. The obligation of the County to pay principal and interest on the 2022 POBs is an obligation imposed by law and is absolute and unconditional. As of June 30, 2022, the outstanding principal amount of the 2022 POBs is \$521,784. The bonds are not rated by any of the NRSROs. The OCIF – OCTP investment in the 2022 POBs is disclosed herein as Municipal Debt.

#### Investment in State Investment Pool

The County is a voluntary participant in the Local Agency Investment Fund (LAIF) that is regulated by the GOV Section 16429.1 under the oversight of the Treasurer of the State of California. The fair value of the investment in this pool is reported in the accompanying financial statements at amounts based on the pro-rata share of the fair value provided by LAIF for the entire LAIF portfolio (in relation to the amortized cost of the portfolio). The balance available for withdrawal is based on the accounting records maintained by LAIF, which are recorded on an amortized cost basis.

### **Investment Disclosures**

#### Fair Value Measures

The County Treasurer categorizes its fair value measurements within the fair value hierarchy established by GASB Statement No. 72. These principles recognize a three-tiered fair value hierarchy, as follows:

- Level 1: Investments reflect prices based on quoted identical assets in an active market.
- Level 2: Investments reflect prices that are based on identical or similar assets in inactive markets or similar assets in active markets. Inputs other than quotes are observable.
- Level 3: Investments reflect prices based on significant unobservable inputs.

Fair value measurement is based on pricing received from the County Treasurer's third-party vendors. Investments in money market mutual funds are priced using amortized cost which approximates fair value, with a net asset value of \$1.00 (in absolute dollar amounts) per share, and per GASB Statement No. 72 are not subject to the fair value hierarchy. Additionally, the Local Agency Investment Fund (LAIF) is not subject to the fair value hierarchy.

The County Treasurer uses the market approach method as a valuation technique in the application of GASB Statement No. 72. This method uses prices and other relevant information generated by market transactions involving identical or similar assets or groups of assets.

The following table presents a summary of the Orange County Treasury's investments according to the assigned fair value hierarchy level as of June 30, 2022.

		Fair Value Measurement		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
OCIF-OCTP	Fair Value			
U.S. Treasuries	\$ 6,272,171	\$ -	\$ 6,272,171	\$ -
U.S. Government Agencies	3,913,916	-	3,913,916	-
Municipal Debt	517,649	-	-	517,649
Total	<u>\$ 10,703,736</u>	<u>\$ -</u>	<u>\$ 10,186,087</u>	<u>\$ 517,649</u>
Investments Not Subject to Fair Value Hierarchy:				
Money Market Mutual Funds	\$ 1,602,924			
Local Agency Investment Fund	73,498			
Total	<u>\$ 12,380,158</u>			
OCIF Specific Investments				
U.S. Government Agencies	\$ 56,915	\$ -	\$ 56,915	\$ -
U.S. Treasuries	41,045	-	41,045	-
Total	<u>\$ 97,960</u>	<u>\$ -</u>	<u>\$ 97,960</u>	<u>\$ -</u>
Investments Not Subject to Fair Value Hierarchy:				
Money Market Mutual Funds	\$ 11,636			
Total	<u>\$ 109,596</u>			

#### Interest Rate Risk

This is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, fixed income securities of longer maturities are more sensitive to changes in market interest rates. Declines in the fair value of investments are managed by limiting the length of the maturity of the securities and providing daily and ongoing liquidity in the portfolio. The Treasurer also manages its exposure to interest rate risk by carefully matching incoming cash flows and maturing investments to meet expenditures. The duration of OCTP at June 30, 2022, is 0.79 years versus the IPS limit of 1.50 years or less, and the weighted average maturity for the OCTP is .78 years. The table below shows the maturities distribution of the OCTP as of June 30, 2022. Actual weighted average days to maturity by investment type for the OCTP are presented in the table in the Credit Risk section on the next page.

Maturities	Principal	% of Portfolio
1 day to 30 days	\$ 3,170,451	25.14%
31 days to 180 days	3,698,156	29.34%
181 days to 365 days	2,137,292	16.96%
1 year to 2 years	2,061,015	16.35%
2 years to 3 years	593,105	4.71%
3 years to 5 years	945,000	7.50%
Total	\$ 12,605,019	100.00%

In general, the maximum maturity allowed is five years unless the Board has granted express authority either specifically or as part of an investment policy. As of June 30, 2022, the OCTP had no variable-rate notes.

#### Credit Risk

This is the risk that an issuer or other counterparty to an investment may not fulfill its obligations or that negative perceptions of the issuer's ability to make these payments will cause the price to decline. The IPS, which is more restrictive than the government code, sets forth the minimum acceptable credit ratings for investments from at least two of the following NRSROs: S&P, Moody's, or Fitch. All short-term and long-term investments, except those noted below, 1) must have the minimum ratings required below by at least two NRSROs, and 2) the lowest rating of any NRSRO must meet or exceed the minimum rating required below:

S&P	A-1, "AA"
Moody's	P-1, MIG 1/VMIG 1, "Aa"
Fitch	F-1, "AA"

If an issuer of Long-term debt has a Short-term debt rating, then it may not be less than the minimum required Short-term debt ratings above.

- a) Municipal debt issued by the County of Orange, California, U.S. Government obligations and State Pool are exempt from the credit rating requirements listed above.
- b) Money Market Mutual and Investment Pools require the highest ranking or the highest letter and numerical rating provided by at least one NRSRO.

No investment may be purchased from an issuer and all related entities, including parent and subsidiaries, that have been placed on "credit watch-negative" by any of the NRSROs or whose credit rating by any of the NRSROs is less than the minimum rating required by the IPS for that class of security unless the issuer has a short-term rating of A-1+ or F1+ or a long-term rating of at least AA or Aa2; and the Treasurer has approved the purchase in writing prior to purchase.

The following table presents a summary of the County's investments by interest rate risk and credit risk at June 30, 2022.

With Treasurer: OCIF-OCTP	Fair Value	Principal	Maximum Maturity	Weighted Average Maturity (Years)	Ratings <sup>(1)</sup>	% of Portfolio
U.S. Treasuries	\$ 6,272,171	\$ 6,425,000	5 years	0.495		50.66%
U.S. Government Agencies	3,913,916	3,980,855	5 years	0.266	AA	31.61%
Municipal Debt	517,649	521,784	3 years	0.019	NR	4.18%
Local Agency Investment Fund (LAIF)	73,498	74,457	N/A	0.000	NR	0.60%
Money Market Mutual Funds	1,602,924	1,602,923	N/A	0.000	AAA	12.95%
	<u>\$ 12,380,158</u>	<u>\$ 12,605,019</u>		<u>0.780</u> <sup>(2)</sup>		<u>100.00%</u>

With Treasurer: Specific Investments	Fair Value	Principal	Maximum Maturity	Weighted Average Maturity (Years)	Ratings <sup>(1)</sup>	% of Portfolio
U.S. Treasuries	\$ 41,045	\$ 41,500	2/15/2036	0.579		37.45%
U.S. Government Agencies	56,915	56,021	11/02/35	1.682	AA	51.93%
Money Market Mutual Funds	11,636	11,636	N/A	0.000	AAA	10.62%
	<u>\$ 109,596</u>	<u>\$ 109,157</u>		<u>2.261</u> <sup>(2)</sup>		<u>100.00%</u>

(1) The County Treasurer obtains credit ratings from S&P, Moody's, and Fitch. The ratings indicative of the greatest degree of risk have been disclosed. NR means not rated. The County Treasurer is not required to disclose the credit ratings of obligations of the U.S. government or obligations explicitly guaranteed.

(2) Portfolio weighted average maturity.

#### Concentration of Credit Risk

This is the risk of loss attributed to the magnitude of a government's investment in a single issuer. As of June 30, 2022, all OCIF investments were in compliance with state law and the IPS single issuer limits. See the Orange County Treasury's investments table for concentrations of holdings. The following holdings in OCTP exceeded five percent of the portfolio at June 30, 2022.

Investment Type	Issuer	Fair Value	Portfolio %
U.S. Government Agencies	Federal Home Loan Bank (FHLB) Bonds	\$ 2,108,998	17.04%
	Federal Farm Credit Bank (FFCB)	1,012,781	8.18%

Custodial Credit Risk

For an investment, custodial credit risk is the risk that in the event of the failure of the counterparty, the County will not be able to recover the value of its investments or collateral securities that are in possession of an outside party. The IPS does not permit investments in uninsured and unregistered securities not held by the County. The Treasurer utilizes third party Delivery Versus Payment (DVP) which mitigates any custodial credit risk. Securities purchased by the Treasurer are held by third party custodians in their trust department to mitigate custodial credit risk. At year-end, in accordance with the IPS, the OCTP and specific investments did not have any securities exposed to custodial credit risk, and the Treasurer did not have any securities lending during the year (or at year-end).

Foreign Currency Risk

The IPS requires all securities to be U.S. dollar denominated. The OCIF is not exposed to foreign currency risk.

**Note 3 - Subsequent Events**

Investment Policy Statement: On December 20, 2022, the Board of Supervisors (BOS) adopted Resolution 22-155 approving the 2023 Investment Policy Statement (IPS) that delegated the investment and deposit for safekeeping authority to the Treasurer-Tax Collector for calendar year 2023.

Standard & Poor's (S&P) reaffirmation of "AAAm": On November 14, 2022, S&P reaffirmed their highest rating Fund Rating of AAAM on the OCMMF and the OCEMMF.



**Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards**

To the Board of Directors  
County of Orange, California

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the Schedule of Assets Held by the County Treasury (Schedule) of the County of Orange, California (County), as of and for the year ended June 30, 2022, and the related notes to the Schedule and have issued our report thereon dated April 18, 2023. Our report contained an emphasis of matter regarding the basis of accounting.

**Report on Internal Control over Financial Reporting**

In planning and performing our audit of the Schedule, we considered the County Treasury's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the Schedule, but not for the purpose of expressing an opinion on the effectiveness of the County Treasury's internal control. Accordingly, we do not express an opinion on the effectiveness of the County Treasury's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses or significant deficiencies may exist that have not been identified.



## **Report on Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the County Treasury's Schedule is free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the Schedule. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in black ink that reads "Eide Sully LLP". The signature is written in a cursive, flowing style.

Laguna Hills, California  
April 18, 2023



Andrew N. Hamilton, CPA  
Orange County Auditor-Controller

# Internal Audit



## Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended September 30, 2022

Audit Manager: Michael Steinhaus, CPA, CIA, CISA  
Auditor II: John C. Lim, CIA

Audit Number 2204  
Report Date: June 2, 2023



OFFICE OF THE  
**ORANGE COUNTY AUDITOR-CONTROLLER**

**ANDREW N. HAMILTON, CPA**  
AUDITOR-CONTROLLER

DATE: June 2, 2023

TO: Treasury Oversight Committee

FROM: Michael Steinhaus, Audit Manager

SUBJECT: Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended September 30, 2022

At the request of the Treasury Oversight Committee, we have completed our compliance monitoring of the Treasurer's investment portfolio for the quarter ended September 30, 2022. Our report is attached for your review.

We appreciate the assistance extended to us by the personnel of the Treasurer-Tax Collector during this engagement. If you have any questions please contact me at 714-834-6106.

Other recipients of this report:

- Board of Supervisors
- Audit Oversight Committee
- Shari Freidenrich, Treasurer-Tax Collector
- Brian Winn, Accounting/Compliance Manager
- Salvador Lopez, Chief Deputy Auditor-Controller
- John Lim, Auditor II
- Foreperson, Grand Jury
- Robin Stieler, Clerk of the Board of Supervisors
- Eide Bailly LLP, County External Auditors



# Internal Auditor's Report

We have completed our compliance monitoring of the Treasurer's investment portfolio for the quarter ended September 30, 2022. The purpose of our engagement was to determine whether the Treasurer's investment portfolio complied with the Treasurer's Investment Policy Statement (IPS). This engagement covers the Orange County Investment Fund (OCIF), which includes all cash and investment balances entrusted to the Treasurer.

We selected 15 business days for testing and analyzed the FIS Quantum data in Excel to determine whether the Treasurer's investment portfolio complied with the IPS for those days. We performed the following procedures and found no exceptions; however, we noted our findings for procedure #5.

1. Authorized Investments (IPS Sections VI, VII, IX, and XI): We selected one investment purchased for each of the 15 days tested and confirmed that the investment conformed to the IPS requirements at the time of purchase.  
Results: We found no exceptions.
2. Diversification Limits (IPS Section VIII.1): We confirmed that investments did not exceed the diversification limits.  
Results: We found no exceptions.
3. Maximum Maturity Limits (IPS Section VIII.2): We confirmed that the maximum maturity of any investment purchased did not exceed five years.  
Results: We found no exceptions.
4. Lower Maturity Limits (IPS Section VIII.1): We confirmed that the maximum maturity of investment types purchased that have lower limits than those covered by IPS Section VIII.2 did not exceed 180 days for repurchase agreements and bankers' acceptances, 270 days for commercial paper, 18 months for negotiable certificates of deposit, two years for medium-term notes, and three years for municipal debt.  
Results: We found no exceptions.
5. Issuer Concentration Limits (IPS Section VIII.1): We confirmed that the investments did not exceed the issuer concentration limits.  
Results: We found no exceptions. T-TC does not apply IPS restrictions to OCIF, which includes the Orange County Treasurer's Pool (OCTP) and Specific Investments; T-TC applies IPS restrictions to only OCTP. The IPS is unclear as to whether Specific Investments and Money Market Mutual Funds (MMMFs) are excluded from the IPS restrictions.
6. Financial Reporting (IPS Section XXI): We confirmed that any compliance exceptions identified during our testing were reported in the Treasurer's Monthly Investment Report per the IPS.  
Results: We found no exceptions.



# Internal Auditor's Report

This report is intended solely for the information and use of the Treasury Oversight Committee and the Office of the Treasurer-Tax Collector; however, this report is a matter of public record and its distribution is not limited.

*Michael Steinhaus*

Michael Steinhaus, CPA  
Audit Manager  
June 2, 2023





Andrew N. Hamilton, CPA  
Orange County Auditor-Controller



Internal Audit

Second Follow-up Audit of the Management Letter on  
Review of the Schedule of Assets as of December 31, 2020

Audit Manager: Michael Steinhaus, CPA, CIA, CISA  
Auditor II: John C. Lim, CIA

Audit Number 2217-A  
Report Date: June 27, 2023



OFFICE OF THE  
**ORANGE COUNTY AUDITOR-CONTROLLER**

**ANDREW N. HAMILTON, CPA**  
AUDITOR-CONTROLLER

DATE: June 27, 2023

TO: Honorable Board of Supervisors

FROM: Michael Steinhaus, Audit Manager

SUBJECT: Second Follow-up Audit of the Management Letter on Review of the Schedule of Assets as of December 31, 2020

We have completed a follow-up review of the Management Letter on Review of the Schedule of Assets as of December 31, 2020 (Management Letter). Our review was limited to reviewing the corrective actions taken as of August 31, 2022, to resolve the one outstanding finding from the Management Letter. Our report is attached for your review.

Given T-TC has not resolved the one significant deficiency from the Management Letter, we will recommend that the Audit Oversight Committee request that we perform a third follow-up review in approximately six months.

Other recipients of this report:

- Members, Audit Oversight Committee
- Jason Prole, Director of Investments
- Brian Winn, Accounting/Compliance Manager
- Salvador Lopez, Chief Deputy Auditor-Controller
- John Lim, Auditor II
- Foreperson, Grand Jury
- Robin Stieler, Clerk of the Board of Supervisors
- Eide Bailly LLP, County External Auditor



# Internal Auditor's Report

## Background

We completed a review of the Schedule of Assets as of December 31, 2020; and identified one significant deficiency in the related management letter. We classified the finding as a significant deficiency when combined with a similar control deficiency identified in the Management Letter on Review of the Schedule of Assets as of September 30, 2016 and again in the Management Letter on Review of the Schedule of Assets as of September 30, 2019, for which T-TC then concurred with our recommendation that T-TC management ensure its financial records (Quantum) accurately reflect all cash and investment accounts of the Treasury; T-TC's planned corrective action was to add and track the applicable accounts in Quantum as part of its Quantum upgrade that was to be completed in 2017; and T-TC's corrective action is still process. As a result of our first follow-up review, we found that the Treasurer-Tax Collector (T-TC) was in the process of resolving the one finding as of December 31, 2021.

## Results

During our second follow-up review, we found the following status as of August 31, 2022:

**Finding:** Northern Trust Demand Account Not Recorded in Quantum (Significant Deficiency)

**Recommendation:** We recommend that T-TC management ensure that all accounts included in its Schedule of Assets are recorded in Quantum.

**Status: Not Implemented.** T-TC does not ensure that all accounts included in its Schedule of Assets are recorded in Quantum. T-TC has not set up the Northern Trust MMMF accounts in Quantum. Instead, T-TC has stopped purchasing Northern Trust MMMFs until T-TC has set up those accounts in Quantum.

We appreciate the assistance extended to us by the personnel of the Treasurer-Tax Collector during our follow-up audit. If you have any questions, please contact me at (714) 834-6106.

Michael Steinhaus, CPA  
Audit Manager  
June 27, 2023





# Internal Auditor's Report

## ATTACHMENT A: Follow-up Audit Implementation Status

For purposes of reporting the implementation status of our audit recommendations, we utilize four categories:

Implemented	In Process	Not Implemented	Closed
The department has implemented our recommendation. No follow-up necessary.	The department is in the process of implementing our recommendation. Follow-up recommended.	The department has taken no action to implement our recommendation. Follow-up recommended.	Our recommendation is no longer applicable. No follow-up necessary.

**DATE:** September 22, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Closed Session will be held pursuant to Government Code Section 54957.6, to meet with the designated representative, Chairman Ramin Baschshi, regarding the compensation of the President/CEO

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A Closed Session will be held as follows:

1. Pursuant to Government Code Section 54957.6 to meet with the designated representative, Chairman Ramin Baschshi, regarding the compensation of the President/CEO, Kimberly Goll.

**Contact:** Commission Counsel

**DATE:** September 22, 2023

**TO:** First 5 Orange County

**FROM:** Kimberly Goll, President/CEO



**ACTION:** Review, Consider, and Approve any Adjustments to the Contract of Employment and Compensation of the President/CEO, Kimberly Goll, as deemed necessary by the Board of Commissioners

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The Board of Commissioners may meet in open session to review, consider, and approve any Adjustments to the Contract of Employment and Compensation of the President/CEO, Kimberly Goll, as deemed necessary by the Board of Commissioners.