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

Wednesday, August 7, 2019, 9:00 A.M.

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

### MARIA E. MINON, MD Chair

RAMIN BASCHSHI, MD Vice Chair

**DEBRA BAETZ** Commissioner

JACKIE FILBECK Commissioner

SANDRA PIERCE Commissioner SANDRA BARRY Chair Pro Tem

**DOUG CHAFFEE** Commissioner

KENN MCFARLAND Commissioner

RICHARD SANCHEZ Commissioner

ATTENDANCE: Commissioners: Barry, Baschsshi, Baetz, Chaffee, Filbeck, McFarland, Pierce and Sanchez

EXCUSED: Commissioner Minon

PRESENT: EXECUTIVE OFFICER COMMISSION COUNSEL CLERK OF THE COMMISSION Kimberly Goll James Donich Maria Lopez, Deputy

#### **PLEDGE OF ALLEGIANCE**

Pledge of Allegiance led by Commission Counsel James Donich

**PRESENTATIONS**: (Item 1)

1. Receive presentation on Orange County's Family Shelter Network and Family Response System evaluation report

### **PRESENTED**

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### **CONSENT CALENDAR:** (Items 2-4)

- 861234579 APPROVED AS RECOMMENDED
- 2. Receive update on financial audit process and Vavrinek, Trine, Day and Company contract assignment to Eide Bailly LLP
- 3. Receive report on the Community Engagement activities
- 4. Receive update on Child Care Landscape Analysis

### **<u>REGULAR ITEMS</u>**: (Item 5-12)

5. Approve annual review and updates to Administrative Policies and Procedures

912345678 APPROVED AS RECOMMENDED

- 6. Adopt resolution authorizing a two-year lease renewal with Orange County Shared Spaces Foundation
  - 841235679 APPROVED AS RECOMMENDED
    - x RESO: 19-014 C&FC
  - 7. Authorize agreement with First 5 California to receive Dual Language Learner Pilot Study funding, and adopt resolution authorizing agreement with the Orange County Department of Education
  - 512346789 <u>APPROVED AS RECOMMENDED</u> x *RESOS: 19-015 - 19-016 C&FC*
  - 8. Adopt resolution authorizing an amendment to the agreements with Dental Transformation Initiative Local Dental Pilot Program Health Centers to include additional state funding
  - 921345678 APPROVED AS RECOMMENDED
    - x RESO: 19-017 C&FC
  - 9. Receive update on the Bridges Maternal Child Health Network

### 491235678 **RECEIVED**

- Ax (Commissioner McFarland abstained from discussion and vote on this item due to his affiliation with Fountain Valley Regional Hospital and Medical Center)
- 10. Receive report on the System-Building Budget
- 241356789 **<u>RECEIVED</u>** 
  - х
- 11. Receive the 2019-2020 Strategic Plan Implementations and Dashboard
- 612345789 **RECEIVED**

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12. Receive update on the First 5 Orange County Organization Design Project

412356789 **RECEIVED** 

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### **PUBLIC HEARING**:

None

### CLOSED SESSION:

None

### **EXECUTIVE OFFICER REPORT**: (Item 13)

- 13. Receive the Executive Officers Report
  - A. Financial and Quarterly Investment Report
  - B. Strategic Communications Fourth Quarter Report
  - C. Learners Today, Learners Tomorrow Early Development Index Summit
  - D. OC Reads Early Literacy Collaboration
- 261345789 **RECEIVED** 
  - х

### PUBLIC & COMMISSION COMMENTS:

### PUBLIC COMMENTS:

Pamela Pimentel - Oral re: Commented on the importance of National Breast Feeding Awareness Week and looking for donors to come out to Breastfeeding Milk Drive on August 24, 2019.

#### COMMISSION COMMENTS:

Commissioner Chaffee - Oral Re: Thanked Kim Goll, Executive Officer for going over the all the items with him and asked to see the Data Analysis for Item 1.

### **ADJOURNED**: 10:24 A.M.

#### \*\*\* KEY \*\*\*

### Left Margin Notes

1	Debra Baetz
2	Sandra Barry
3	Ramin Baschshi, MD
4	Doug Chaffee
5	Jackie Filbeck
6	Kenn McFarland
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- 7 Maria E. Minon, MD
- 8 Sandra Pierce
- 9 Richard Sanchez

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

Reso = Resolution Ord = Ordinance

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

/s/

RAMIN BASCHSHI, MD Vice Chair

/s/

MARIA LOPEZ, Deputy Clerk of the Commission



Agenda Item 1 August 7, 2019

DATE:	July 25, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumlely Louy
ACTION:	Receive presentation on Orange County's Family Shelter Network and Family Response System evaluation report

First 5 Orange County Children and Families Commission entered a catalytic partnership agreement with HomeAid Orange County in 2012 to build emergency shelters to house homeless pregnant women and families with young children. In February 2018, First 5 Orange County approved an addendum to the catalytic project term sheet with HomeAid to allow up to \$150,000 to be used for a comprehensive evaluation of Orange County's Family Shelter Network.

The evaluation focused specifically on the 22 shelters that are part of the Family Solutions Collaborative, which includes both shelters that receive First 5 funding and those that do not. The evaluation focused on the current performance of the family shelter system. Specific recommendations include programmatic alignment among the family shelters to improve quality and consistency, increase formal governance and oversight of the collaborative, ongoing use of data and evaluation to inform performance management and system outcomes, and considerations for future investments in the family shelter system.

HomeAid extended the agreement with Katherine Gale Consulting to continue the evaluation efforts to inform shelter practices. The second phase of the evaluation was funded with the original \$150,000 allocated by First 5 Orange County and was recently completed. Scott Larson, Executive Director of HomeAid Orange County will present an update on the evaluation.

### ATTACHMENTS

- 1. Presentation Slides: Family Emergency Shelter Catalytic Investment Update
- 2. Memo on Shelter Related Data Findings in Follow Up to the 2018 Evaluation
- 3. Evaluation of Orange County's Family Shelter Network and Family Response System Executive Summary

Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee

Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez

Family Emergency Shelter Catalytic Investment Update August 7, 2019





## **Commission's Catalytic Investment**

Objective: End family homelessness through the building of shelters to house pregnant women and families with young children.

- Support the development of 80 family emergency shelter units
- Funding can support both construction and initial operation for up to 5 years
- Multiple locations throughout the County





# **Terms of Funding**

### **CFCOC** Financial Contribution

- \$6.25 million for capital improvements and operational support
- Allocation determined based on needs and leveraging
- Security Letter of credit or 1<sup>st</sup> trust deed for capital improvement

### **Service Payback**

• Shelters will provide services to satisfy their capital improvement obligations

### Leverage

• Shelter Operator to bring additional resources and support







## **Project Outcomes**

- 5 projects have been developed
- 66 units of housing created
- Serving 264 families annually
- \$4.55 million of CFC funding allocated/spent
- \$9.4 million in matching contributions secured
- Balance of \$1.7 million of CFC funding unallocated
- Appendix includes Visual of 5 shelter projects





## Evaluation of Orange County Family Response System and Family Shelter Network

### **Purpose and Goal**

Contribute to the understanding of family homelessness over time in Orange County. To understand the nature of the system serving that population and how it has evolved and adapted. To provide recommendations for strengthening both the effectiveness of the Family Shelter Network and the Family Homeless Response System overall.





# **Data Analysis: Findings**

- Most Families are using shelter once but there are still a small proportion of families with multiple entries
  - 290 unique families from all shelters
  - 334 unique shelter enrollments
- Rates of exits to permanent housing vary between 32% for all shelters and 35% for network shelters
- Median length of stay per family is 58 days
- Exits showing shelter to shelter transition remains a problem
- Data & Charts for phase I and II included in Appendix





## **Phase I Recommendations**

### **Recommendations include:**

- Phase II to validate initial findings
- Increase Shelter Program alignment
- Formalize governance and oversight of Family Solutions collaborative
- Standardize the of data and evaluation to improve system outcomes and considerations of future investments





## **Shelter Program Allignment**

"The purpose of adopting these shared guidelines is to ensure that, regardless of which shelter a family is referred to, they have a similar low-barrier entry experience, clear expectations for what support they will receive and what is expected of them, and an opportunity to achieve similar outcomes."





## **Shelter Program Alignment**

- Define and align core shelter practices
- Align length-of-stay targets and caps and extension policies
- Improve housing focus in shelters.
- Track and address the number of shelter-to-shelter transitions





# Reasons for Shared Shelter Guidelines

### **Evaluation found**

• Hard for families to get into shelter; lots of effort on their part

### Families reported challenges once in shelter, especially:

- Shelters had different rules, approaches, and support available; what families got depended on where they happened to get in
- Having to leave during the day (some shelters)
- Rules, compliance orientation, curfews
- Interpersonal relations with other clients

### Significant numbers of families were going from shelter to shelter

 Some families reported having to leave even when they were close to being rehoused





## **Shelter Guidelines:Content**

- Shared Guiding Principles and Family Stabilization Goals
- Shelter Performance Outcomes and Targets
- Admittance and Intake Policies
  - Low barrier and welcoming; clear expectations
  - Clear grievance process and ways to handle conflict
- Housing Planning and Housing Search Support
  - Minimum expectations of support; role of other services
- Length of Stay policies and process for extensions
  - o Goal to minimize unnecessary disruption and negative exits
- Transfer Policy and Approach





## **Shelter Guidelines: Process**

- Shelter Network Leadership identified areas for better alignment
- Reviewed guidelines from another community
- Drafted guidelines
- Adopt Final Draft (In Process)
- Discuss implementation steps and roll out (Planned 2019 rollout)
- Create process to monitor impact (Planned 2020)
- Work to get as many providers as possible to adopt and use (Ongoing)
- Conduct periodic review, updating and revisions (Ongoing)





# Conclusions

- Trends in initial analysis hold true
- There is evidence to support need for additional shelter but existing system performance and efficiency should be addressed first
- Significant need to increase resources for permanent housing to reduce shelter stays
- Support shelter efforts for alignment
- Continue data analysis and evaluation efforts for collaborative
- Recommend that the Commission Homeless Prevention Renewal Panel consider evaluation findings







# Appendix









- Via Esperanza
- Location: Anaheim









- Theriault House
- Location: Stanton











We help people find their way back home.



- Regina House
- Santa Ana











• San Clemente











We help people find their way back home.

- HomeAid Orange County Family CareCenter
- Orange







# **Shelter Data Analysis: Findings**

- Follow Up Data Set (all of 2018) is larger but looks similar to Evaluation Data Set;
- Patterns of usage look same most families use shelter once but some have two or more stays



Unique Families and Shelter Enrollments





# **Shelter Data Analysis: Findings**

- Rate of Exits to Permanent Housing slightly lower over the full year; not surprising with a longer time period covered (early exit trends tend to look better)
- Median stays are slightly longer, also expected. Change not large in Network shelters and difference between Network and All Shelter went away



Median Length of Stay in Shelter







# **Shelter Data Analysis: Findings**

Higher rates of reported and observed shelter to shelter movement in the Follow Up Data Set, especially for Network Shelters. This is of concern.









#### MEMORANDUM

July 24, 2019

To: David Gillanders, Ad-Hoc Chair of OC Family Shelter Working Group Scott Larson, Executive Director, Home Aid OC

From: Katharine Gale, Consultant

Re: Shelter-Related Data Findings in Follow Up to the 2018 Evaluation

As you know, I have conducted a second data analysis to update the shelter portion of the 2018 Orange County Family Shelter Network and Family Response System Evaluation. For the initial Evaluation (completed October 2018), my research partner and I examined HMIS data on all families entering shelter in the first quarter of 2018 and followed these families through to the last data available on them, which went through early July 2018 in some cases. For this follow up I have received HMIS data for all shelter entries in calendar year 2018. The main purpose of this additional analysis is to see if certain trends and preliminary findings in the first report are confirmed or changed through examining a larger set of records, including entries in the second half of the year when many system changes, such as family coordinated entry, had been implemented.

### Summary of Results and Implications:

The results of the follow up analysis show that the key trends identified in the initial analysis hold true and appear valid for conclusions related to occupancy, lengths of stay, permanent housing exit rates and shelter to shelter movement. In particular, early findings indicating gaps in occupancy and high rates of shelter to shelter movement are born out and even increase in the larger data set.

The Coordinated Entry list as of July 1, 2019 indicates a small but immediate need for family shelter openings. Twenty families awaiting assistance reported most frequently staying outdoors and the situation for six more is described as "other" (which is interpreted to mean they are not currently sheltered). Half of the families reported as staying outdoors most frequently were added to the list in the last 30 days. This implies a need for some additional shelter availability on a monthly basis; however, it is possible this need could be addressed if openings can be filled faster, rates of shelter to shelter movement (described in 4 below) can be decreased, and/or the lengths of stay in family shelter can be decreased slightly while maintaining or improving housing outcomes.

At this time I would not recommend making the investment of time and resources to create an additional family shelter but rather adding permanent housing resources targeted to families that can help reduce lengths of stay in existing shelter, as well as supporting shelter providers to become more aligned with each other and able to focus on improving housing outcomes. Such efforts taken both within and outside of shelters should improve the rate of exits to permanent housing and, combined with a decrease in multiple shelter usage, free up more of the current inventory of shelter beds to accommodate the numbers being seen. I also recommend exploration into the continued shelter to shelter movement and reasons for current gaps in occupancy rates.

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### **KEY FINDINGS**

### 1. Occupancy Rates – Shelters Report Being Full But Data Indicate Gaps

The first Evaluation indicated that 85 unique families were enrolled in the first quarter of 2018, with 52 of them (61%) enrolled in the five network shelters. For the full year 2018 I find there were 290 families that had 334 enrollments; 198 of these enrollments were in Network shelters (59%). The reported beds in Network shelters according to the Housing Inventory Count (HIC) equal capacity for approximately 52 families at a time. The rate of 198 families in a year is equal to just under four turnovers a year, which would indicate if the system was at full capacity an average stay length of slightly more than 90 days. The calculated median length of stay from HMIS, however, is 58 days median and 63 days average. This means there appear to be unoccupied beds/slots for families that are not being filled as quickly as they might be. If occupancy could be brought to 90% in Network shelters, it appears the system could shelter an additional 45 families per year. It is possible that some of this discrepancy is due to family sizes that do not fit openings, but despite shelters reporting they are always full, there may also be a delay in turnover and filling openings.

### 2. Exits to Permanent Housing slightly lower than before – 35% for Network Shelters

In the first evaluation we found a rate of exit to permanent housing for all families in shelter of 42%, with the rate for Network shelters slightly lower at 39%. With a full year of data (looking at all 2018 entries with an exit in either 2018 or 2019) the overall rate is lower, 32%, but the relative performance of the Network shelters is higher, at 35% of all exits. That the rate dropped a little when looking at a larger set and longer time period is not surprising. In the first analysis we could only look at those who had exited shelter during that time frame and they may have been more likely to be those with a positive exit.

### 3. Lengths of Time in Shelter up slightly - Median stays of 58 days

Lengths of stay in shelter went up slightly in the full year analysis, from a median of 56 and an average of 59 in Network shelters to a median of 58 and an average of 63. Again, it is not surprising that with fuller data stays got a little longer, because in the first analysis there were fewer families with exits and many more cases that were still open that could not be counted. Lengths of stay are likely being affected by requirements that restrict how long a family can stay in shelter.

### 4. Reported and observed Shelter to Shelter Movement increased

The first report found high rates of shelter to shelter movement based on two different variables. The first is based on Prior Living Situation – a field that records where the family was reported to be staying immediately before entering the shelter of record for our analysis. In the first analysis 38% of all entries, and 46% to Network shelters, were reported as having entered from "Emergency Shelter, including hotel/motel paid for with voucher." In the analysis of the entire 2018 entry cohort these numbers have surprisingly risen to 49% of all shelter entries and 54% of Network Shelter entries.

This rate is high but could be misleading in some ways. In particular, if a family stays in a hotel/motel paid for by a shelter prior to entering the same shelter this could be recorded to appear as an entry from another shelter. This probably does not explain all of the entries, however. Many shelter providers do not enter data into HMIS so it is also possible that families are entering from another shelter program.

Data on exits shows a lower rate of movement to another shelter but this rate also rose in the second analysis. In the first report 13% of all exits from shelters reported in HMIS was to another shelter, and the rate was 18% for Network shelters. In looking at all of 2018 entries, the exit rate to another shelter rose to 16% for all shelters and 22% for Network shelters.

Related to the shelter to shelter movement, I also looked at repeat shelter enrollments during the year. I found 39 households (13% of all unique households with a shelter entry) had between two and four shelter entries and accounted for a total of 83 entries (25% of all shelter entries) in 2018. Again this is only includes entries to shelters that capture data in HMIS.

The real rate of shelter to shelter movement is likely to be somewhere in between what is derived from the self-report of the families as they enter about where they last stayed, and what is recorded as the destination for families when they exit. Efforts are needed both to improve data collection on shelter to shelter movement to be more accurate, and to reduce the actual rate at which families leave shelter for other shelters. The shared shelter guidelines about lengths of stay and handling extensions should address some of the issue, but the behavior of other shelters not in the Network as well as data collection rules and reporting policies must be looked at to get a better handle on what is actually happening, and how to best reflect this in HMIS.

Evaluation of Orange County's Family Shelter Network and Family Response System

### **Executive Summary**

Prepared by Katharine Gale Consulting



In collaboration with

Nancy Frank & Associates Flanning & Evaluation for Community Change

November, 2018

### **Executive Summary**

### Introduction and Context

Over the past three years, significant changes have been made in the way that family homelessness is addressed in Orange County, including the creation of five new year-round shelters for families and the launch of a coordinated systems approach. This evaluation, commissioned by HomeAid Orange County and the Orange County Family Solutions Collaborative, with support from the Orange County Children and Families Commission, is intended to investigate and describe the process and impact of these changes.

This is a 'mixed methods' evaluation that relies on both quantitative and qualitative data to paint a picture of the system, its operators and users, as well as the changes that have occurred. Quantitative data include information from two specific extracts from the Homeless Management Information System (HMIS), data from the countywide Coordinated Entry System (CES), the annual Point-in-Time (PIT) Count and Housing Inventory Count (HIC) prepared for the U.S. Department of Housing & Urban Development, as well as additional contextual data from the U.S. Census Bureau and other sources. Qualitative data includes feedback gathered in sixteen provider and stakeholder interviews, eight focus groups with currently and formerly homeless families, and a review of relevant documents.

As in many communities, family homelessness is a persistent challenge in Orange County, although families are a minority of the homeless population. The number of families found to be homeless on a given night has declined by 24% since 2013. However there are indications that this may underestimate unsheltered families and that over the course of a year, the number is much higher. Work on ending family homelessness in Orange County is occurring in the context of a much larger set of issues that are affecting Orange County and the entire state of California, including a rise in unsheltered homelessness that is recognized to have reached crisis proportions. Efforts to address family homelessness are continuing but have not had the focus that chronic and individual homelessness has recently received.

### **Shelter Analysis**

One significant change in the family response system over the last three years was ending the use of a mixedpopulation seasonal shelter as the primary emergency response for families and instead, creating several new and smaller emergency shelters specifically intended for families. These shelters, funded by the Children and Families Commission through HomeAid, and collectively known at the Family Shelter Network, are intended to serve approximately 80 families each month. HomeAid issued several cycles of funding opportunities; and in the end, five projects with new or adapted facilities were considered feasible and supported. The five shelters (and their operating agencies) include<sup>1</sup>:

Via Esperanza (Pathways of Hope) – a 10-unit apartment building in Anaheim (north county)

**Theriault Hous**e (Illumination Foundation) – a new construction multi-bedroom home with capacity for nine families in Stanton (north county)

**Regina House** (operated by Mercy House) – two residential buildings capable of housing seven families in Santa Ana (mid-county)

**FAMily House** (Family Assistance Ministries) – a four-plex with capacity for approximately eight families in San Clemente (south county)

**Family Care Center** (owned and operated by HomeAid with services by Mercy House) – a renovated industrial building capable of serving sixteen families in Orange (north/mid county)

<sup>&</sup>lt;sup>1</sup> One other shelter, Casa Teresa, a shelter for pregnant women and their families was also funded by the CFC investment through HomeAid but was funded prior to the Network being established and is not included in the comparisons below as a Network shelter.

Network shelters have a high degree of alignment regarding the purpose and goal of emergency shelter but are more diverse in terms of structure, staffing, and intended lengths of stay. HMIS data for the first quarter of 2018 indicates that these shelters served approximately 52 families at a time, which is slightly lower than the 80 originally anticipated. The Network accounts for 61% of all families sheltered countywide in the time frame examined. Families that enroll at Network shelters are more likely to be headed by a single parent, have more children, and report higher rates of disabilities, but also report higher incomes than families at non-Network shelters.

A large number of families in Orange County enter shelter from staying, immediately before, in another shelter setting (38% of all), and this percentage is even higher for Network shelters (46%). Network shelters had significantly more stays that lasted between 31 and 90 days, while non-Network shelters had a wider range – showing both more shorter and more longer stays. Together, the shelters had a 42% rate of families leaving for permanent housing, with Network shelters having slightly lower rates than non-Network (39% compared with 46%). Network shelters also exited more families to another shelter setting (18% for Network vs. 4% of non-Network). We note that the overall numbers here are small and that some of the patterns observed may not continue if looked at over a longer period with greater numbers of families.

Families residing in the shelters reported that they most appreciated having a safe place to stay for themselves and their children, and stressed the importance of feeling respected or treated with kindness. They reported that their greatest frustrations were the requirements to be out of the building all day (true for three of the Network shelters), curfews and other rules, and, in some cases, interpersonal conflict with other residents. Families were divided about how useful they felt housing support services were, and many mentioned needing more assistance, especially to secure housing quickly and with flexible funds to take advantage of opportunities as they occur. There are currently no shelter standards in place in Orange County, nor are there shared definitions of the purpose of shelter and other models, such as transitional housing and interim/bridge housing.

### Family Response System Analysis

In addition to the creation of new year-round shelters, the family response system has changed in other ways. The Housing Inventory Count (HIC) shows a decrease in the availability of transitional housing, though it is still the most significant segment of the inventory. Availability of permanent housing such as a rapid rehousing (RRH) and permanent supportive housing (PSH) appears flat in the HIC and yet, families and providers interviewed, and our analysis, indicated some growth in the availability of RRH.

The Family Solutions Collaborative(FSC) formed in 2013 as a voluntary association of six providers working to bring additional attention to the plight of homeless families in Orange County. It has now grown from six to 22 family-serving organizations, has become formalized and hired dedicated staff, and has established a shared goal of ending family homelessness by 2020. The FSC has advocated for an improved and coordinated family response among its members and in the broader homeless system, including advocating for changes in the approach to coordinated entry for families. In January 2018, FSC took over responsibility for operating the Family Coordinated Entry System (CES) and during 2018 has been creating a system with dedicated access points for families within each geographic region.

FSC members and other stakeholder had nearly universally positive feedback about the FSC and say that getting everyone to the table is a significant accomplishment that has changed the conversation. Opinions are less aligned about the impact the FSC is having on how well the system functions. Members are comfortable working together on system additions such as coordinated entry and diversion, and less comfortable with changes that may impact their core programs or conflict with individual organizational goals. Though committed to being data-driven, and currently using data for specific projects, the FSC has not arrived at shared measurable goals or begun to use data in a consistent manner to evaluate its collective impact.

Data from CES show that a large number of families are being assessed but fewer are being assisted. Information about scores and family status indicate that the housing programs filled by CES are not consistently reaching the highest need families, as the average risk score for all families assessed and for those that are housed through CES is nearly the same. Shelter diversion practices have been implemented but are still in development, and have not yet improved the overall diversion rate reported, which is approximately 20%.

Comparing HMIS data from the first quarters of 2016 and 2018, we see some changes in the populations served by the family response system. A smaller overall number of households appear in the 2018 sample, though the number of children is the same, indicating that the system is serving larger families. There are also more children between the ages of 0-5 in the 2018 sample and fewer older children. Disability rates appear to have gone down, though this could reflect more stringent documentation requirements. Reported rates of domestic violence have also dropped, but this could be due to families fleeing domestic violence entering other programs that do not enter data into HMIS.

More families in 2018 have a history of being seen previously in the homeless system, though nearly two-thirds (65%) appear to be experiencing homelessness for the first time. Stays in shelter are getting longer, but more families are also being connected to rapid rehousing. It is too early to say whether outcomes overall have improved, as many records in 2018 were still open at the time of our download in August, 2018.

In focus groups with families, parents report that navigating the system is confusing and difficult, requiring a lot of effort on their part to get assistance. They do not understand how CES is working, and some are concerned or skeptical about the potential of rapid rehousing to help them. Families want easier access to the system, less program-to-program movement, less redundancy in paper work, and more access to housing, particularly permanent housing programs and subsidies.

### Recommendations

### A. Changes to Shelter Practices

**1. Define and align core shelter practices; clarify and target program differences:** The purpose and practice of shelters should be aligned as much as possible so that families have a similar, high-quality experience regardless of where they stay. Differences, such as special programming or target populations, should be based on a specific identified need and supported by the system as a whole.

**2. Align length-of-stay targets, caps, and extension policies:** Currently, targeted and maximum lengths of stay and extension policies vary from shelter to shelter. Intended averages and maximums should be alinged, though any family that has an identified housing exit underway should not be required to move to another shelter, even if they exceed the maximum stay.

**3. Improve the consistency of the housing focus in shelters:** Shelter providers understand the importance of permanent housing and provide support to families to help them secure housing but the service provided is not consistent, and there may be a lack of resources to help families quickly secure housing that is available.

**4. Track and address the number of shelter-to-shelter transitions:** The data, as well as reports from families, indicate that a large number of families are moving between shelters. The recommendations above are intended to address and improve this, but the rate of shelter-to-shelter movement must be tracked closely, which may require data in addition to what is currently collected.

We also suggest (recommendations 5-8) that the FSC and Network shelters address the lack of shelter access on weekends and evenings, make sure shelters remain open during the day or ensure that there are places for families to go, and consider changes in hours for curfews and 'lights out,' especially on weekends. Finally, we recommend that a complete data anaysis for 2018 be conducted to see if trends identified in this study continue, and to gain a more complete understanding of the outcomes of the new system.

### B. Recommendations for Family System Design

**1.** Complete the design and launch of coordinated entry for shelters: Family shelters are currently not included in CES. There is strong support for their inclusion from providers, and families want clearer, more streamlined access. Steps outlined above to align shelter functions and definitons will help with the design of shelter coordinated entry and how beds are accessed and prioritized.

**2.** Make shelter diversion practice consistent and define clearly when a family is considered diverted: Ensure that training is consistent both in how diversion is implemented and how it is recorded in HMIS/CES data.

**3.** Assess coordinated entry functioning and align more closely to inventory: The low rate of higher need families getting housing through CES reflects an inventory gap, but also a practice problem. The FSC should focus energy on ensuring higher need families are served within the system's resources and are not skipped over in the CES process.

**4.** Address concerns about rapid rehousing design and implementation: Families expressed concerns about rapid rehousing, and providers report that rapid rehousing is, in some cases, too short or cookiecutter-like to assist the families well. Create rapid rehousing standards and longer-term flexible subsidies that improve practice and increase providers' ability to serve higher need families.

**5.** Ensure common messaging regarding system access: Currently, information on organizations' websites, and elsewhere varies widely as to how families should get access to assistance. Common messaging is needed, and the FSC should consider some self-auditing to ensure that every provider adopts and promotes certain key messages.

### C. Recommendations for System Governance and Oversight

**1. Make the goals of the FSC clear and what members commit to:** Reach stronger agreement on the commitment that members make as part of joining the FSC to undertake organizational change in support of system goals and to improve the experience for families who are homeless.

**2. Expand families' voices in decision-making:** Use regular feedback mechanisms such as a family advisory council or freqent focus groups to ensure families' voices and experiences are heard and reflected in the FSC's decision making.

**3. Evaluate the appropriate sponsoring agency for the FSC:** The FSC has been well-supported by a member agency up to this point, but may be better served by being hosted by a more neutral party that can serve as the Collective Impact "backbone" organization.

### D. Recommendations for Ongoing Evaluation/Data Utilization

**1.** Improve the quality of data collected: This evaluation was limited by the high level of incomplete data, particularly related to program outcomes. Efforts to improve the completeness and consistency of data collected are needed to improve its usefulness for ongoing system purposes as well as for more in-depth evaluations such as this one.

**2.** Use currently available data objectively and consistently: The FSC should establish reports on system and program performance that it reviews regularly. Even if the data is not perfect, it is important to build a consistent data practice. This will also likely improve data quality.

**3.** Set performance targets: Once data is being reviewed regularly, it will be important to set targets for system performance and track regularly how the system as a whole and its component parts perform against the targets.

**4. Change how CES data is collected and tracked:** CES data has been collected outside of HMIS and is moving into HMIS at the time of this report. A close assessment of both what will be tracked and how it will be used is needed, especially ensuring that information needed to track the impact of the CES, as well as key time frames, is included and easlily extractable.

### E. Considerations for Future Investments

**1. Improve the system before investing in any additional new shelters:** It is possible that additional family shelter capacity would be beneficial, but the current system is too inefficient to make this determination. Postpone any decision about investing in new shelter until:

- The rate of movement from shelter to shelter is reduced by at least half and the reasons for any remaining shelter transfers are well understood.
- All efforts have been made to lower shelter entrance barriers and align practices so that families get in quickly, and all family types are welcome in most, if not all, shelters.
- Shelter diversion has been brought to scale and is well implemented (diverting 30% to 50% of families).
- Coordinated entry for shelters is fully implemented and operating for several months, and specific data is collected and analyzed during this time to evaluate its effectiveness.
- Exploration of other potential existing facilities has been conducted with an eye to expanding or replacing shelter capacity with existing facilities.

We note one exception to this recommendation: Two of the current Network shelters may consider converting to a more permanent form of housing. Pathways of Hope's Via Esperanza, in particular, is well suited to such a conversion; Mercy House's Regina House is less well designed for traditional permanent housing but might work well as a form of non-time-limited, shared housing. If one or both of these are converted, replacement shelter at a larger scale (more similar to the Family Care Center) should be explored.

2. Consider investments for system improvement and housing resource expansion: Stakeholders, families, and our analysis all point to other priorities for system improvement. Areas where the family system would benefit from additional investment include the expansion of a high quality diversion/ problem solving practice, including flexible resources to help families resolve their housing crises quickly; expansion of rapid rehousing and especially the creation of more flexible subsidies that can serve higher need families; and the expansion of affordable housing, including permanent supportive housing for higher need families and general affordable housing with light or no services.

**3.** Invest in critical coordination infrastructure: The FSC is well-staffed and supported for its direct service role in CES and for performing overall coordination functions. However, to build the infrastructure for improved system coordination and ongoing improvement of outcomes, it could use additional one-time or short-term investments, particulally to improve capacity to produce and use data and to increase training and capacity-building work to support greater alignment and incorporation of best practices and messaging among members.

As this evaluation concluded, additional changes to the family system are anticipated. New funding for emergency services from the State of California and focused efforts around landlord engagement from United Way's United to End Homelessness campaign, as well as anticipated increases in CoC funding for rapid rehousing are likely to fill significant gaps in several of these categories of need identified. New City-specfic shelters as a result of the court order will also result in an increase to the family shelter inventory. The Children and Families Commission & HomeAid's investment priorities should be established when there is sufficient information about these anticipated resources to determine where gaps remain.


Agenda Item 2 August 7, 2019

DATE:	July 22, 2019
TO:	Children and Families Commission of Orange County
FROM:	Kimberly Goll, Executive Director Jumleley House
ACTION:	Receive update on financial audit process and Vavrinek, Trine, Day and Company contract assignment to Eide Bailly LLP

#### SUMMARY:

The First 5 Orange County Children and Families Commission is required to conduct an annual audit of all finances and prepare a Comprehensive Annual Financial Report (CAFR) that is submitted to First 5 California each year. This agenda item provides an update on the annual audit process that began in June 2019 and makes an assignment of the contract to Eide Bailly LLP following their purchase of Vavrinek, Trine, Day and Company

#### **DISCUSSION:**

Each county commission is required under the California Health and Safety Code Section 130150 to submit an annual audit report to First 5 California, and the State Controller's Office by November 1. As recommended by the First 5 Financial Management Guide, the county commission prepares a Comprehensive Annual Financial Report (CAFR) that includes all required financial statements along with introductory, supplemental, and statistical information.

An independent, external review by an audit firm is required to determine that the financial statements fairly present the financial position of the Commission in accordance with the Generally Accepted Accounting Principles (GAAP). The auditors base their opinion on the review and testing of financial data and information maintained by the county commission.

First 5 Orange County's contract for audit services was approved at the April 2017 meeting. The authorized agreement with Vavrinek, Trine, Day and Company (VTD) covered a period of up to five years of financial audit services. Commission staff was notified this past May that VTD would be acquired by a top 25 accounting firm in the U.S., Eide Bailly LLP. The effective date of the change was July 22, 2019. The same audit partner, directors, and audit staff will continue to be assigned to the Commission's audit providing an easy transition. Also, the previously agreed upon audit costs will not change.

#### Fiscal Year 2018-2019 Annual Financial Audit - Progress Report

Interim audit fieldwork for the Fiscal Year 2018-2019 CAFR began at the Commission office on June 3, 2019. During this time the audit team began planning and testing transactions and events across different business areas. Examples of the tested items are cash receipts, disbursements, human resources, payroll, contracting/procurement, and information technology with related security.

Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee An audit entrance meeting is scheduled for August 7, 2019 to allow for a direct dialogue between the audit partner overseeing the audit and participating Commission member representatives. Two weeks of additional fieldwork are scheduled to begin August 19, 2019. The audit will be completed in September, and a follow-up audit exit meeting will be scheduled with the Commission member representatives. The final report is scheduled to be presented as a Public Hearing item at the October 2, 2019 Commission meeting in order to meet the November 1 deadline to file with First 5 California and the State Controller's Office.

# STRATEGIC PLAN & FISCAL SUMMARY:

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

# **PRIOR COMMISSION ACTIONS:**

- April 2017 Authorized agreement with Vavrinek, Trine, Day and Company, LLP for audit services
- December 2018 Authorized Executive Director to submit the Fiscal Year 2017/2018 Comprehensive Annual Financial Report to First 5 California and the State Controller's Office

# **RECOMMENDED ACTION:**

Receive update on financial audit process and Vavrinek, Trine, Day and Company contract assignment to Eide Bailly LLP.

# **ATTACHMENTS:**

None

**Contact**: Michael Garcell



Agenda Item 3 August 7, 2019

DATE:	July 25, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumleley Hour
ACTION:	Receive report on the Community Engagement activities

#### SUMMARY:

First 5 Orange County Children and Families Commission contracts with Charitable Ventures to develop and implement community engagement activities. related to the development of the strategic plan that was approved in April 2019. This item provides a final report on Fiscal Year 2018/2019 community engagement activities, and an update on planned strategies to ensure an accurate count of the 0-5 population in the 2020 Census.

#### **DISCUSSION:**

Community engagement has proven to be a successful strategy for involving the Orange County stakeholders in strategies that result in long-term positive outcomes in the area of early childhood development. Charitable Ventures is a non-profit organization that provides expertise and support for projects that strengthen communities. The following is a final report on community engagement activities that occurred during Fiscal Year 2018/2019, and current activities related to the 2020 Census count.

#### Community Engagement Overview: Fiscal Year 2018/2019

In June 2018 the findings of a community engagement assessment were presented to First 5 Orange County as part of the annual planning meeting. The findings identified opportunities to strategically increase communication about First 5 Orange County and engage the community in pursuing positive outcomes for children and families. Recommendations for engaging key stakeholders on the following four key objectives were approved:

- 1. Lead participants to better understand First 5 Orange County's goals and plans
- 2. Identify actionable ideas and feedback on how to effect system change
- 3. Identify potential partnerships, priorities and issues, and other efforts that participants know about or are engaged in
- 4. Gain commitment from potential partners to leverage First 5 Orange County efforts

Fiscal Year 2018/2019 was the pilot year for this engagement activity and corresponded with the strategic planning process. The specific community engagement activities performed by First 5 Orange County staff and consultants are included in the Community Engagement Overview: FY 2018-2019 report (Attachment 1). The activities are organized by the five strategic directions that emerged from the strategic planning process: Committed Leadership, Engaged Neighborhoods, Connected Systems, Aligned Investments, and Sustained Funding.

# Census 2020 Count Update

Every decade for most of this nation's history, the Census has been used to allocate federal funding. An accurate, valid and reliable Census is central to the fair governance of the nation. In the 2010 Census, approximately five-percent of children under age five were not counted, about one million young children nationwide. California had the highest rate of undercount for young children in the entire country. In Orange County, approximately 18,000 children were not counted, and more than \$36 million in critically-important funding went elsewhere.

An undercount in 2020 could cost California more than \$3 billion in federally funded programs, including those that benefit young children, such as Medicaid, Head Start, and the Supplemental Nutrition Assistance Program (food stamps). To ensure an accurate count, First 5 Orange County is participating in the 2020 Census on several fronts to ensure the Hard to Count (HTC), 0-5 population is accurately represented. Activities include participation in the County of Orange's Complete Count Committee, the Administrative Community Based Organization's executive committee, and the First 5 Association. The First 5 Association has received significant private philanthropic and state funding to support First 5's throughout the state through materials developed to reach families with young children, mapping technical assistance to help locate HTC populations of young children, and the establishment of Census questionnaire sites throughout the state in partnership with Head Start.

The focus of First 5 Orange County's community engagement around the 2020 Census is strategy development for reaching families with young children, and engaging and leveraging our networks to make sure all Orange County's children are counted. Strategy development will be done in concert with partners and in alignment with Engaged Neighborhood and Committed Leadership strategies. Community engagement activities will include stakeholder engagement and training, supporting the implementation and placement of Questionnaire Assistance Centers (QACs) to support community participation in the survey, culturally competent message development, education and awareness building of elected officials and coordination of resources and events.

The Orange County maps identify 23 census tracts that represent an estimated 12,877 children under five-years of age, or almost seven percent of children under five in the County, and will help target efforts and resources. Materials are also being customized for Orange County and a communications strategy is being developed in partnership with Orange County organizations that interact directly with young children and families.

# STRATEGIC PLAN & FISCAL SUMMARY:

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

# **PRIOR COMMISSION ACTION:**

• June 2018 - Conducted annual planning meeting, received presentations (Community Engagement Plan presentation) and provided direction

# **RECOMMENDED ACTION:**

Receive report on the Community Engagement activities.

# ATTACHMENT

1. Community Engagement Overview: FY 2018-2019

**Contact**: Anne Olin/Kelly Pijl



# Community Engagement Overview: FY 2018-2019

# Introduction and Definition of Community Engagement

In FY 17-18, First 5 Orange County, Children and Families Commission (F5OC) commissioned an assessment of the Orange County community's engagement with and understanding of the Commission's mission. The assessment found that stakeholders perceived F5OC as a strong and respected voice in the field of early childhood and as a leader in the County. It also identified the opportunities for F5OC to strategically increase communication about its goals and achievements, and to leverage its experience, partnerships, and research to engage MORE of the community in pursuing positive outcomes for Orange County's children and families. Existing challenges, such as a lack of alignment and coordination between agencies and programs, limitations in data sharing, and limited public awareness about key issues of early childhood are areas in which effective community engagement can make a huge difference.

On June 6, 2018, these findings were presented to the Commissioners along with recommendations for engaging key stakeholders –including subject matter experts, funded partners, regional funders and foundations, business leaders, and researchers – on four key objectives:

- 1. Lead participants to better understand F5OC goals and plans
- 2. Identify actionable ideas and feedback on how to effect system change
- 3. Identify potential partnerships, priorities and issues, and other efforts that participants know about or are engaged in
- 4. Gain commitment from potential partners who are willing to leverage F5OC efforts

FY 18-19 was the pilot year for this engagement activity, which in turn corresponded to the launch of a significant Strategic Planning process. The engagement of the community in the Strategic Planning process became the first road test of the new engagement framework.

What follows is a capture of the targeted community engagement activities that occurred during FY 18-19. While the community engagement pilot was not initially structured by the five Strategic Directions that emerged from the Strategic Planning process, this report organizes the past fiscal year's activities by Strategic Direction, as First 5 Orange County leadership has determined the new five-year plan should be the organizing framework for all activity going forward.

# **Strategic Plan**

As a leader in the community in identifying and addressing critical needs of Orange County's youngest children, First5 Orange County, carried out a rigorous strategic planning process to reconnect to strategies and outcomes for achieving resilient families, quality early learning, and comprehensive health and development. The approved five-year plan identified five Strategic Directions to guide its efforts: committed leadership, engaged neighborhoods, connected systems, aligned investments, and sustained funding. Community engagement is a key tactic of the strategic plan, and this document reviews F5OC's community engagement from July 2018 to the present by strategic focus.<sup>1</sup>

In June 2018, F5OC staff and consultants began work on the 2019-2024 strategic plan. Over the course of nearly nine months, the team engaged Commissioners, funded community partners, and stakeholders to create the new plan, which was approved at a Public Hearing on April 3, 2019. The plan that had been in place until early 2019 had guided the Commission's work, primarily focused on direct service provision. The new plan pivots investment toward the five new strategies to achieve its goals. The approved plan has been posted on the F5OC website and has being made available to community stakeholders through presentation and discussion with F5OC representatives.

The Strategic Planning process itself offered the following community engagement opportunities:

# 1. Commissioner Engagement

Commissioners were highly engaged in the development of the Strategic Plan, including review of F5OC's mission, vision and goals, providing feedback on the draft plan in the February planning meeting, and providing final approval at a public meeting in April. Executive Director Kim Goll and consultants held multiple meetings with Commissioners to ensure Commission perspective was reflected in the plan.

# 2. Strategic Plan Open House

An Open House was held on November 7, 2018 at the Delhi Center in Santa Ana to provide a forum for the public to provide feedback to First 5 Orange County that could be incorporated into the final 2019-2024 plan. There were over 150 attendees, including Commissioners Debra Baetz and Sandy Barry, representatives of community organizations, elected leaders, 15 school districts, businesses, 56 different non-profit organizations, universities and 9 philanthropic foundations. The attendees reviewed vision and mission concepts. Attendees also provided feedback about the proposed goal areas, the strategic direction to progress toward the goals, and the objectives to measure the implementation of the strategies and achieve the goals.

Feedback about the plan and the work of First 5 OC was overwhelmingly positive. Most felt the plan was clear, aligned with First 5 OC's goals, and would lead to improvements for children and families.

<sup>&</sup>lt;sup>1</sup> This report presents community engagement activities by strategy (as per the 2020-2024 strategic plan). Additional detail about specific outreach activities is provided in the Appendix.

Attendees liked the focus on partnerships and system change, and felt the population objectives were appropriate. They also appreciated the opportunity to provide feedback.

There was some feedback provided on language and terminology that was unclear, which was addressed in final drafts of the plan. There was also some debate on whether to focus on certain communities or ensure that support be available for all of Orange County. Finally, there was some concern by non-profits that the pivot towards more strategic investments might imperil funding for programming.

# 3. Broad Community Survey

Following the Open House, a survey was disseminated broadly to those who did not attend, including parents, who them had an opportunity to provide feedback on the Plan as well; the survey was responded to by 124 people. One of the purposes of the survey was to ensure that F5OC engaged those who were not very familiar with our work; 19% of respondents were "not so familiar" or "not at all familiar" with F5OC. Every Orange County city with a population of 100,000 or more had at least one respondent.

As with the Open House, comments were positive, and most respondents felt the plan components were clear. Sustained Funding and Connected Systems were ranked as the Strategic Directions which were perceived as having the most potential impact.<sup>2</sup> Respondents also were positive about each of the three goals (Quality Early Learning, Comprehensive Health and Development, and Resilient Families) and thought they were important for F5OC and helpful for the County's families.

Most respondents saw a way for themselves and/or their organization to align with these goals, and thought the goals were realistic within a five-year timeframe. Most open-ended comments were positive and called for more focus on social determinants of health, diverse families, early learning, and working with school boards. There was also some feedback on language that was not entirely clear; it was similar to that from the Open House.

# **Community Engagement in Support of Committed Leadership**

The Strategic Direction of Committed Leadership calls for First 5 OC to build community leadership knowledge and action around early childhood by developing an internal and external leadership voice.

Some of the community engagement activities performed in support of this focus area included:

• Communicating our strategic vision throughout the First 5 Associations, such as First 5 Southern California, First 5 California, the First 5 Association, and the California Children and Families Foundation.

<sup>&</sup>lt;sup>2</sup> "Aligned Investments" was not identified as a strategic direction at the time of the survey.

- Championing the use of key data for continuous quality improvement of services to the Early Childhood Community, particularly early childhood education. This includes QRIS, the Children's Data Network, and the Early Development Index.
- Leading and encouraging the research, publication and dissemination of key indicator reports in the County, primarily the OC Indicators Report, the Conditions of Children Report, and the OC Equity Report and specifically advocating for focus on 0 to 5 issues
- Actively participating in regional and national forums on topics relevant to early childhood. Examples include the 2018 California Head Start Associations' Policy and Orange County Child Care and Development Planning Council's Retreat, the American Academy of Pediatrics (AAP) and First 5 policy leaders meeting, the Statewide Cannabis Safety Meeting, and the Ninth Annual Early Childhood Science, Technology, Engineering, Math, (STEM) Conference
- Performing intentional outreach in the business sector, in particular to and in collaboration with the Orange County Business Council (OCBC).
- Engaging local, state, and federal public officials on issues relevant to early childhood. First 5
  Orange County staff met with County Supervisors and the Orange County Director of Legislative
  Affairs, Speaker Anthony Rendon, Assemblymembers Sharon Quirk-Silva, Tyler Diep's, Cottie
  Petrie-Norris, and Phillip Chen and Senators Bob Archuleta, Tom Umberg, and Ling-Ling Chang.
  In addition, staff traveled to Washington for the California Congressional Delegation Briefing and
  Sacramento for several events, including the first ever First 5 Advocacy Day.
- First 5 Orange County held 5 bi-monthly meetings to deploy the 20 consultants who work on behalf of First 5 OC in the community more strategically and in concert with the strategic directions and outcome goals.

# **Engaged Neighborhoods**

The Strategic Direction of Engaged Neighborhoods calls for the use of Early Development Index (EDI) results to increase awareness and engage neighborhoods in improving outcomes for their young children. Throughout the year, F5OC engaged school districts, universities, nonprofits and public officials in the collection of Early Development Index (EDI) data and its utility.

EDI Town Hall Meetings were held in Buena Park, Irvine, and Huntington Beach, reaching over 100 community members. F5OC staff partnered with the Early Learning Specialists to invite district staff, community partners, and private and faith-based preschools representatives, who engaged in workgroups about how to use EDI in their programs and communities to improve kindergarten readiness.

In addition, First 5 Orange County staff did extensive work to communicate about EDI to diverse audiences, including the Early Childhood Conference at Santa Ana College, OC Grantmakers, the Anaheim Community Foundation, and other neighboring First 5 organizations, and several school districts.

Finally, work is well underway on planning the 2nd *Learners Today Leaders Tomorrow* Conference, which will be held in September 2019 in collaboration with First 5 Los Angeles.

# **Connected Systems**

The Strategic Direction of Connected Systems calls for **F5OC to facilitate connected, high-functioning early childhood systems throughout the year**. Community engagement activities had a particular emphasis on mental and physical health in early childhood including:

- Holding multiple convenings of Community Partners that provide services for the prenatal to three (PN3 population) to understand the assets and opportunities for improvement of services in this area.
- Attending various community events related to Early Childhood systems development, such as the Prevention Summit, the Early Childhood Obesity Forum, and the California Endowment conference on pregnancy and post-partum issues, and met with funders, academics, pediatricians, and other stakeholders regarding Early Childhood.
- Working to expand the Neighborhood Resource Network, in partnership with Orange County Social Services Agency and its FaCT Family Resource Center Network, including engaging the FaCT Leadership Council in a Working committee on how to bring the evidence-based Triple P program into the platform.
- In March, F5OC received the honor of receiving the American Academy of Pediatrics (AAP) Award as the 2019 Community Champion of the Year. The award recognizes a F5OC for contributing to the community, in line with AAP's mission to achieve optimal health for all Orange County children by promoting pediatric excellence.

# **Aligned Investments**

The Strategic Direction of Connected Systems calls for the investment of resources for greatest impact using data-informed, mission-driven decision-making. To that end, we have developed an internal process and timeline to review and renew program agreements with service providers that will expire June 30, 2020, which will involve community and Commissioner input.

Other engagement efforts in support of this Strategic Direction include: working with Rancho Santiago County College and Orange County Head Start on their applications to increase Early Head Start (EHS) funding in Orange County; continued support of the Community Health Initiative of Orange County; an expansion of the home visiting services through a grant from the Social Service Agency; and approval of an intergovernmental transfer to leverage federal funds for a quality improvement project to increase the use of validated screening tools among pediatricians.

Additionally, in March, the First 5 Orange County-supported Santa Ana Early Learning Initiative (SAELI) was recognized by the Santa Ana Unified School District for their extensive community engagement for families with young children (0-5).

In January, First 5 Orange County was invited to be a part of the Executive Committee preparing a proposal for the California Census Count 2020 to carry out outreach to Hard-to-Reach populations in Orange County, to ensure that children ages 0-5 are included in this work and that public and private funding coming into the region can be leveraged to support a 0 to 5 outreach strategy. In April, the state contract was awarded, and First 5 Orange County will continue to participate in the leadership of this outreach effort.

# **Sustained Funding**

The Strategic Direction of Sustained Funding calls for **F5OC to work to increase access to new or repurposed sources of funding to sustain or grow early childhood services through meetings**. Funders we have worked with include the David and Lucille Packard Foundation, the Thompson Family Foundation, the Pritzker Foundation, St. Joseph Health Community Partnership Foundation, OC United Way, the Kay Family Foundation, Edwards Life Science Foundation, the Orange County Community Foundation, and others.

First 5 Orange County remains active members of the OC Grantmakers and Southern California Grantmakers.

# **Conclusion and Recommendations**

The staff and leadership of F5OC have embraced the call and the challenge to engage the community in strategic effort on behalf of young children, and the community is responding. In the first year of the more targeted effort, community engagement was organic, responsive and inclusive. As we head into the first year of the new Strategic Plan, the community engagement team recommends the creation for a formal evaluation framework to make sure that our engagement activities are effective, aligned to the Strategic Plan and are truly catalyzing effort in the right direction. First 5 Orange County leadership have many opportunities to speak, engagement and support community partners, and community engagement activities should be selected carefully to make most effective use of staff.

# Appendix – FY 18-19 Community Engagement Activities

This is a partial list of specific community engagement activities performed by staff or consultants of First 5 Orange County, organized by the five Strategic Plan Strategic Directions.

# **Committed Leadership**

F5OC engaged internally and externally to develop knowledge and action as an early childhood leader in the community, to a variety of audiences.

# Engagement with F5 Southern California, F5 California, the F5 Association, and the California Children and Families Foundation.

- In July 2018, Executive Director Kimberly Goll attended the F5 Southern California Regional Meeting in Los Angeles.
- In August, Consultant Lisa Burke facilitated the large group discussion that focused on the organizational structure, sharing goals and responsibility, and increasing communication, coordination and efficiency at the Help Me Grow California convening at F5LA.
- In November, F5 Riverside held a 20-Year celebration event, which ED Goll attended. She had previously engaged the commission Board about the success of the EDI in Orange County and the opportunity for a statewide expansion of EDI. She continued with this education and promotion into 2019.
- In December, ED Goll attended the F5 Annual Summit in Palm Springs with representatives from commissions statewide.
- In January 2019, the ED attended F5 CA meetings in Sacramento.
- In March, F5OC was invited to attend a F5 Association update at the County Welfare Directors. This has increased demand on the Association's limited resources and several of the larger First 5 county commissions have agreed to help fund strategic planning efforts. Two First 5 Orange County consultants, Rebecca Alvarez and Lisa Burke, are assisting with developing a 12 to 18month plan to leverage the current resources to ensure coordination among the Association and First 5 member counties.

# Being a champion of utilizing key data for continuous quality improvement of services.

- In August 2018, Early Learning Director Tiffany Alva represented F5OC at the QRIS (Quality Rating and Improvement System) Summer Institute in Palm Springs.
- In September, F5OC participated in the Quality Counts California Consortium (CA-QRIS) meeting in Sacramento.
- In November, F5OC participated in the first Children's Data Network (CDN) Funder Convening.
- In April, F5OC presented on the evaluation of School Readiness Initiatives that was completed in December 2018. Changes to the program are being considered based on the evaluation to ensure sustainability and alignment with the strategic plan. A timeline for the process to review and renew program agreements that will expired on June 30, 2020 was approved, as well as

three ad-hoc program renewal panels. The Chair will be appointing Commission and Pediatric Health Services (PHS) Committee members to the review panels that will begin meeting in May 2019. Dr. Ramin Baschshi was confirmed as the Commission representative to the PHS Committee and will participate in the next meeting scheduled for August 7, 2019.

#### Participation in research, engagement and dissemination of key indicator reports in the County.

- In September 2018, ED Goll represented F5OC at the release of the Orange County Community Indicators Report.
- Also, in September, Early Learning Director Alva represented F5OC at the 2018 Orange County Grantmakers Summit in Santa Ana.
- In early February, the 2018 OC Conditions of Children Report was released with the leadership of F5OC and other partners. The new report covers all areas of the county's health, economic conditions and quality of life, including income and housing, education, public safety, infrastructure and health care.
- Also, in February, ED Goll participated on an expert panel presenting the OC Equity report, at the release event hosted by OC Grantmakers and St. Joseph Health Community Partnership Fund.

# Participation in regional and national forums on topics relevant to early childhood.

- In July, Early Learning Director Alva attended the Directors and Early Childhood Education Partners Reception at the 2018 California Head Start Associations' Policy and Leadership Conference.
- Also, in July, Alva attended the Orange County Child Care and Development Planning Council's Retreat.
- In August, F5OC's Health Policy and Programs Director, Ilia Rolon, represented Orange County at the American Academy of Pediatrics (AAP) and First 5 policy leaders meeting. Also in August, Rolon attended the Statewide Cannabis Safety Meeting to promote cannabis safety for pregnant women and families with young children.
- In November, the Orange County Pritzker Fellow, Hoda Shawky, attended the Pritzker Fellow Meeting in Chicago. Shawky highlighted the work of F5OC, collaborating on best-practices and strategies on the promotion of maternal, infant, and early childhood wellness (prenatally to age 3) at the local, state, and national levels.
- In March 2019, Director of Early Learning Alva attended the Ninth Annual Early Childhood Science, Technology, Engineering, Math, (STEM) Conference held in Pasadena, California. This year's panel was intentionally comprised of experienced educators working directly with children, implementing STEM concepts into the classroom on a daily basis.
- The Early Learning Director, Tiffany Alva attended the tenth annual Help Me Grow (HMG) National Forum in Buffalo, New York this week.

Outreach in the business sector, in particular, to and in collaboration with the Orange County Business Council (OCBC).

- In September, Director of Early Learning Alva, and VP of Workforce Development for OCBC, Chris Reese, participated in The Economic Edge of Early Childhood planning meeting to highlight the value of embedding early childhood issues and systems-building efforts into infrastructure policy decisions and development of housing, workforce and community
- In December, ED Goll and Director of Early Learning Alva, attended the OCBC Government Affairs and Workforce Development Committee, who held a joint meeting this week for a presentation and discussion with California Assembly Speaker Anthony Rendon.
- In January, Goll and Alva presented to the OCBC Workforce Development Committee on First 5 Orange County's investments and impacts over the last 20 years, the Early Development Index Data, a brief overview of the strategic plan and opportunities where business and First 5 Orange County can collaborate on workforce issues around access to quality childcare and closing the achievement gap before kindergarten.
- Engagement with the OCBC continued in February when Goll attended the annual dinner in Irvine, where she connected with business and elected officials.
- In March, Goll presented to a group of Human Resources Directors representing over 30 businesses in Orange County at Brandman University about the impact of childcare on the county's workforce.

# F5OC engagement of local, state, and federal public officials on issues relevant to early childhood.

- In June, ED Goll participated in a presentation at MOMS Orange County to 14 Federal and State officials on the health, policy, and funding implications of Prop 64.
- In July, Goll met with Assemblymember Sharon Quirk-Silva at her office in Buena Park, briefing her on the EDI; on the health, policy and funding implications resulting passage of Prop 64. and offered F5OC as a resource on legislative proposals related to young children and families.
- In September, Goll, met with Orange County Director of Legislative Affairs, Peter DeMarco and manager Julie Perkins, on proposed legislation that impact young children and families.
- Also, in September, multiple members of the F5OC team (Goll, Alva, and Rolon) attended The First 5 Association of California statewide meeting this week to collect, discuss and develop policy statements in three key areas: Family Resiliency, Comprehensive Health and Development, and Quality Early Learning.
- In November, Goll met with a representative from Senator Ling-Ling Chang's office in Brea.
- Also, in November, Goll presented at the Southern California Association of Governments (SCAG) Economic and Human Development Committee, which includes 40 representatives from five southern California counties.
- In December, Goll, attended the first ever California Congressional Delegation Briefing in Washington, D.C. along with representatives from First 5 commissions throughout the state. Curt, Pringle & Associates was a key partner for this engagement.

- Also in December, Director of Early Learning Alva spoke to Speaker Rendon about the collaboratively developed Orange County Early Childhood Framework.
- In March, ED Goll presented an overview of the scope and services of F5OC and EDI to Assemblyman Tyler Diep's district staff this week.
- In April, in anticipation of First 5 Advocacy Day, Goll met with district representatives for Assembly members Cottie Petrie-Norris and Phillip Chen and Senators Bob Archuleta and Tom Umberg.
- Finally, in May, F5OC joined First 5 California and other First 5 county commissions throughout the state for the annual Advocacy Day in Sacramento.

# **Engaged Neighborhoods**

Throughout the year, F5OC used Early Development Index (EDI) results to increase awareness and engage neighborhoods in improving outcomes for their young children by engaging school districts, universities, nonprofits and public officials in the collection of EDI data and its utility.

- In June 2018, the Early Development Index Partnerships Commission staff met with representatives from Anaheim Elementary School District.
- In June, ED Goll, continued efforts to solidify a partnership with Chapman University, meeting with Don Cardinal to discuss the potential to use the F5OC EDI data to add to the Thompson's Policy Institutes' work on special education. Additionally, Goll met with Dr. Kennedy, Dr. Fagan, and Dr. Montgomery to discuss potential partnerships around use of the EDI and in referrals to the Chapman run Children's Language Center in Santa Ana.
- That month, F5OC also participated in the second Quarterly Southern California Early Development Index Learning Exchange hosted by the UCLA Center for Healthier Children, Families and Communities.
- In July, the Commission held the first of its EDI informational events; with representatives from North Orange County community organizations, private and faith based preschool providers, including Head Start, The Boys and Girls Club, Children's Home Society, Hands Together, and Zion Preschool, attended.
- In September 2018, Executive Director Kim Goll and Early Learning Director Tiffany Alva joined Lisa Stanly from UCLA to present on EDI at a meeting hosted by First 5 Riverside and First 5 San Bernardino.
- In March 2019, Alva was the keynote speaker to more than 200 attendees at the Fourth Annual Early Childhood Conference at Santa Ana College.
- Across the fiscal year, F5OC participated in the development of a new tool to link EDI and the new "California Strong Start Index". The Strong Start Index was launched in February 2019 by the First 5 Association and Children's Data Network.

# **EDI Town Hall Meetings**

F5OC held EDI Town Hall Meetings in Irvine, and Huntington Beach.

- The South County meeting was held in December, focusing on Irvine, Laguna Beach, Newport Beach and Costa Mesa. 50 community stakeholders participated.
- At the town hall in April, which focused on the cities of Huntington Beach, Fountain Valley, and Westminster, F5OC staff partnered with the Early Learning Specialists to invite district staff, community partners, and private and faith based preschools. There were 30 attendees were presented with an intro about EDI, who engaged in workgroups about how to use EDI in their programs and communities and to improve kindergarten readiness.

#### Additional Community Presentations

- In November 2018, Director of Early Learning Tiffany Alva, met with the new Anaheim Elementary School District's Superintendent Christopher Downing and Assistant Superintendent Dr. Mary Grace.
- In January, Director Alva attended the OC Grantmakers Quarterly Meeting. She discussed the 2020 census, and the Orange County Equity Report, which would be released in February and which included EDI data.
- Also, in February, Executive Director Goll, and Director Alva, presented to the Anaheim Community Foundation Board about F5OC's investments and impacts over the last 20 years, the Early Development Index data, and opportunities where the Anaheim Community Foundation and First 5 Orange County can collaborate on early childhood issues.

# **Connected Systems**

F5OC performed community engagement to facilitate connected, high-functioning early childhood systems throughout the year, with particular emphasis on mental and physical health in early childhood.

- F5OC held multiple convenings of community partners providing services for the prenatal to three (PN3) population to understand the assets and opportunities for improvement of services in this area.
- Health Policy and Programs Director Ilia Rolon attended various events related to early childhood health.
  - In June, she attended the 2018 Oral Health Summit co-hosted by the California Department of Public Health and Department of Health Care Services (DHCS).
  - In July, she attended a conference at the California Endowment office in Los Angeles that focused on cultural considerations and responses to stresses throughout pregnancy, birth, and in the postpartum period.
- In December, Don Thompson Board Member of the Thompson Foundation, invited F5OC to the TLC Public Charter, a tuition-free public charter school that opened in August 2018 in the city of Orange, currently serves 70 children in grades from Transitional Kindergarten (TK) through 4th, and expects to expand to 8<sup>th</sup> grade. The goal of the visit was to learn from F5OC's successes and challenges in investment projects in the area of childhood education.
- Also, in December, ED Goll, met with Dr. Quynh Kieu, a pediatrician who serves on the leadership boards of the Healthcare Foundation and Project Vietnam Foundation, to follow-up on her public comments at the Pediatric Health Subcommittee meeting
- In February, F5OC attended the Prevention Summit in San Diego

- Also, in February, F5OC Commissioner Dr. Maria Minion welcomed and provided opening remarks at the Early Childhood Obesity Forum.
- In March, F5OC received the honor of receiving the American Academy of Pediatrics (AAP) Award as the 2019 Community Champion of the Year. The award recognizes a F5OC for contributing to the community, in line with AAP's mission to achieve optimal health for all Orange County children by promoting pediatric excellence.
- In April, as a founding member of the OC Grantmakers, F5OC attended the Health and Homelessness Lunch Panel, a funders-only event which explored opportunities and strategies to improve the health of the homeless population
- In April, ED Goll presented about F5OC's Neighborhood Resources Network Program at the FaCT Leadership Council meeting.
- In May, First 5 Orange County and the American Academy of Pediatrics-Orange County (AAP-OC) co-hosted a dinner meeting at the AAP-OC offices to engage health leaders in a broader conversation about actions needed to strengthen the early identification and intervention system, to ensure all children receive developmental screenings and are connected to resources and interventions as early as possible.
- Also, in May, Health Programs and Policy Director Rolon arranged a presentation for CalOptima's Member Advisory Committee (MAC) regarding First 5 Orange County's Developmental Screening Initiative (DSI). Consultant Rebecca Alvarez of NP Strategies presented on the importance of early identification of developmental concerns and appropriate and timely linkage with intervention services. She also discussed the resources and partnerships being developed as part of the DSI, which are creating unprecedented momentum in the county for system improvements. Following the presentation, Rolon and Dr. Edwin Poon of CalOptima and, who is a MAC member, facilitated a discussion regarding the Governor's proposal to reimburse pay providers to screen children with a validated tool.
- As part of her work on systems change to improve rates of screening, referral and treatment for mothers needing mental health services, First 5 Orange County's Pritzker Fellow Hoda Shawky, meets with healthcare leaders at Kaiser Permanente, Providence St. Joseph Health System, Hoag Health and the County of Orange Health Care Agency to identify best practices and opportunities for collaboration.

# **Aligned Investments**

F5OC's strategic plan makes a commitment to invest resources for greatest impact using data-informed, mission-driven decision-making.

- In October, Health Programs and Policy Director Rolon attended the Building a Legacy Celebration, an annual fundraiser to benefit the Community Health Initiative of Orange County (CHI OC).
- In December, F5OC supported Rancho Santiago County College and Orange County Head Start on their applications to increase Early Head Start (EHS) funding in Orange County. Rancho

Santiago County College currently serves 140 EHS families in Santa Ana. They have requested over \$1 million to support an additional 60 slots, training and technical assistance. They plan to partner with the Santa Ana Early Learning Initiative and Santa Ana Unified School District to serve the most venerable families through a center based and home-based model.

- Also, in December, Health Programs and Policy Director Rolon was elected to chair the Health Funders Partnership of Orange County for 2019. The three strategic focus areas that guide the Partnership work through 2020 are to strengthen community health and wellness, improve the structures and systems for vulnerable populations and protect access of care for all. In March, she chaired her first meeting for the organization.
- In March, the Santa Ana Early Learning Initiative (SAELI) was recognized by the Santa Ana Unified School District for their extensive community engagement for families with young children (0-5). The four neighborhoods that were recognized are piloting spark projects to align resources, programs and systems with a focus on building a parent leadership network. F5OC provided funding to SAELI over the last 3 years to improve early learning outcomes for young children.
- In April, F5OC presented (internally) a timeline for the process to review and renew program agreements with service providers that will expire June 30, 2020. Three ad-hoc renewal panels were also presented.
- In May, First5 approved an intergovernmental transfer to leverage federal funds for a quality improvement project to increase the use of validated screening tools among pediatrician. F5OC and AAP-OC co-hosted a dinner meeting at the AAP-OC offices to engage health leaders in a
- broader conversation about actions needed to strengthen the early identification and intervention system. Representatives from CalOptima, Orange County Health Care Agency, Social Services Agency, CHOC Children's, and others met to identify both current efforts in the county and barriers that can be addressed to ensure all children receive developmental screenings and are connected to resources and interventions as early as possible. The group was invited to continue meeting as an advisory body to the Developmental Screening Initiative.
- Amended agreements with service providers of the Bridges program per State Department of Social Services award to CalWORKS to expand the home visiting services provided that program.
- In October, F5OC had a phone call with Alex Briscoe, Principal at California Children's Trust, a statewide initiative seeking to improve child wellbeing through policy and systems reform. He shared valuable ideas on opportunities to leverage state and federal funds for integration of behavioral health services within the medical home.
- In January, F5OC was invited to be a part of the Executive Committee preparing a proposal for the California Census Count 2020 to carry out outreach to Hard-to-Reach populations in Orange County. In April, the proposal was accepted, and F5OC will support Charitable Ventures in their leadership of this outreach and ensure that families with young children ages 0 to 5 are a target of the regional outreach strategy.

# **Sustained Funding**

F5OC worked to increase access to new or repurposed sources of funding to sustain or grow early childhood services.

- In June, ED, Goll, attended a joint convening of the David and Lucile Packard Foundation and the Center for the Study of Social Policy in North Carolina. It was an opportunity to convene national foundations to discuss community-focused initiatives for young children and families. There were networking opportunities with representatives from the Gates Foundation, Packard Foundation, Bezos Foundation, Pritzker Foundation, and Duke Endowment. In March, the David and Lucile Packard Foundation and the Center for the Study of Social Policy invited F5OC to participate in a small group of philanthropic leaders, partners and innovators that are invested in early childhood development to explore what it means to support local systems-building efforts. Representatives from the Heising-Simons, Packard, and Pritzker Foundations, First 5 LA and the Duke Endowment met in Los Altos, California.
- In July, Goll attended the OC Funders Roundtable (OCFR) Quarterly Meeting. She discussed planning for a nonprofit summit Mental Health Resources in Orange County, Intersectional Movements, Equity & Service, and Census 2020.
- In October Director of Early Learning Alva and Communications and Policy Director Kelly Pijl met with Ethan Kay and Mark Percy from the Kay Family Foundation (KFF) regarding their interest in preschool education. Mark Percy represents KFF on OC STEM Initiative board along with the Commission. He convened the meeting to discuss the EDI and his interest in developing a three-pronged program to include preschool curriculum, pedagogy and teacher training. We are following up with Mr. Kay to coordinate site visits to innovative preschools and share research-based curriculum. The Kay Family Foundation annually funds faith, education, and medical arts organizations.
- In December, Goll and other F5OC staff networked at holiday receptions. They attended events hosted by the Curt Pringle & Associates, Edwards Life Science Foundation, OC Grantmakers, Orange County Business Council, and Orange County Community Foundation.



Agenda Item 4 August 7, 2019

DATE:	July 22, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumleley Hould
ACTION:	Receive Update on Child Care Landscape Analysis

# SUMMARY:

First 5 Orange County Children and Families Commission's 2019-2024 Strategic Plan includes a strategic direction of sustained funding. One of the key areas of interest is to develop a leveraging plan that will increase the amount of subsidized child care available in the county. This item is an update on the process to conduct a Child Care Landscape Analysis including a timeline of activities and key partners.

#### **DISCUSSION:**

First 5 Orange County approved a slate of consultant agreements at the June 2019 meeting. The slate included an agreement with NP Strategies to assess early childhood systems in Orange County. Expanding access to subsidized child care is a key strategy to sustain funding. Currently there is an estimated 37,000 infant and toddlers underserved in the county. A contributing factor to over 47 percent of the county's children not being ready for school is the lack of access to affordable, quality care. The Commission aims to address this by first understanding the opportunities and challenges within the child care landscape.

Orange County's biggest issue in early learning is the lack of access to high quality childcare for infants and toddlers. For the first time, First 5 Orange County will conduct a landscape analysis to provide a comprehensive understanding of child care funding, provider capacity and challenges when serving children ages 0-3. The target on children ages 0-3 is based upon several factors: 1) research shows that investing in quality early care and education in those foundational years yields the greatest return on investment in terms of child development; 2) access to quality child care impacts parents' abilities to participate fully in the workforce, and 3) experience has shown that infant and toddler care is one of the greatest issues in the child care system.

To conduct the analysis, the Commission's consultant, NP Strategies, will partner with Orange County Head Start, Rancho Santiago Community College District, Child Development Incorporated, Children Home Society, Orange County Social Services Agency and the Orange County Local Child Care Planning Council. The key questions of the landscape analysis include (but may not be limited to):

- Who are the key agencies and collaboratives involved in early child care work in Orange County and what is each doing?
- What is the flow (sources and amounts) of public dollars into and through the county for early child care?
- What other funding sources exist for early child care?

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- How available is child care capacity data? What data do we have? What gaps exist?
- What are the key challenges and opportunities for improvement (expansion- improvement suggest quality to me not more slots)?

The information gathered from the analysis will be used to inform the Commission's child care funding leveraging plan. It will also be used to inform opportunities for local action and for statelevel policy actions. Based on, the outcome of the Child Care Landscape Analysis, the Commission and its partners will be in a better position to develop and implement strategies to address the challenge of supply and other system priorities.

To research these questions, NP Strategies will approach the project in four phases from late August 2019 to February 2020 and will involve data gathering from partner agencies, one-on-one interviews, partner focus groups, secondary research on early child care funding sources in other locations, and working sessions with First 5 Orange County's team. The analysis may also include a survey to gather input more broadly from the field of early child care providers, if partners determine this is necessary. The timeline and work plan are in Attachment 1.

# STRATEGIC PLAN & FISCAL SUMMARY:

The recommended actions have been reviewed in relation to the Strategic Plan and are consistent with the Quality Early Learning goal. There is no funding action proposed for this item.

# **PRIOR COMMISSION ACTIONS:**

- June 2019- Approved the authorizing agreements with designated individuals and organizations to provide consultant services.
- April 2019- Approved Strategic Plan for 2019-2024

# **RECOMMENDED ACTION:**

Receive update on Child Care Landscape Analysis.

# ATTACHMENT

1. First 5 Orange County Early Child Care Landscape Analysis: Work Plan and Timeline

**Contact**: Tiffany Alva

# First 5 Orange County Early Child Care Landscape Analysis: Work Plan and Timeline

Timeline Kick-	off Late Aug - Sept	Late Sept - Dec	Jan - Feb	Final Presentatio
tools. Activities Gather input and ideas: • Hold kick-off working session with Commission team/committee • Conduct initial round of key stakeholder interviews • Refine research approach based on input gathered • Develop input/data collection tools (interview guides, data requests, etc.)		<ul> <li>Conduct Research:</li> <li>Conduct additional key stakeholder interviews</li> <li>Request and gather data from providers and partners</li> <li>Conduct secondary research on Orange County and funding leveraged in other places</li> <li>Conduct provider survey (TBD)</li> </ul> Working Session(s) with Commission Staff & Community Partners: <ul> <li>Share learnings (slide presentation)</li> <li>Synthesize implications for OC</li> </ul>	<ul> <li>Report Development:</li> <li>Draft report</li> <li>Hold working session(s) with Commission team/committee</li> <li>Finalize report</li> <li>Develop summary presentation</li> <li>Final presentation</li> <li>Commission</li> <li>Local Planning Council.</li> <li>Orange County Department of Education</li> </ul>	
Objectives	questions, identify data sources and key stakeholders to engage, and develop data/input collection	Work with Commission and partners to gather data and input on funding into and through the county, capacity, opportunities and challenges; conduct benchmark research on funding in other places.a	Develop final report and summary presentation, including potential actions based on findings.	
	Modeling & Data Collection Tools	Data/Input Gathering	Synthesis, Report Writing and Presentation	





Agenda Item 5 August 7, 2019

DATE:	July 28, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Kimberly House
ACTION:	Approve annual review and updates to Administrative Policies and Procedures

# SUMMARY:

The annual review of First 5 Orange County Children and Families Commission's Administrative Policies and Procedures is complete. This item requests approval for recommended updates to selected Policies and Procedures based on actions or operational changes that have occurred over the past year.

#### **DISCUSSION:**

First 5 Orange County's Administrative Policies and Procedures were originally adopted in November 2001. The Policies and Procedures are reviewed annually to ensure they remain current and are updated as needed. The Administrative Policies and Procedures have been reviewed by staff representatives responsible for the respective areas. The majority of the changes are minor edits to update language and dates. All policies were updated to reflect the December 2018 action to change the organization name to First 5 Orange County Children and Families Commission.

An outline of all the policies are included as Attachment 1 and those with changes are noted. Three policies required more significant changes that are summarized in this report. Those three policies are also included as attachments to this report. The complete set of Administrative Policies and Procedures is on file with the Clerk of the Commission and available upon request.

#### **Technical Advisory Committee (2.5)**

The revised Technical Advisory Committee policy (Attachment 2) renames the Pediatric Health Services (PHS) Committee to the Technical Advisory Committee (TAC) and broadens membership to include experts in early learning and childhood development. In 2014, an action was approved to recognize the PHS Committee as the official TAC. The PHS, which was initially authorized in 2003 to oversee investments in pediatric health, is no longer necessary as the last remaining agreement that was allocated through PHS will terminate on June 30, 2020. The TAC will continue to provide oversight of programs funded through the Intergovernmental Transactions (IGT) and provide recommendations for cross agency work with county partners that align with the goals and objectives as defined in the Strategic Plan.

#### Public Records Request Policy (2.6)

The revised Public Records Request policy (Attachment 3) for processing Public Records Act requests was reviewed by Commission Counsel. Substantive revisions were made to the former policy that generally restate the law and is tailored to the Commission's practices. The revised policy includes additional procedures related to the processing of individual requests and recent updates to the Public Records Act.

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#### **Records Retention and Disposition Policy (6.7)**

Commission Counsel reviewed and updated the policy for Records Retention and Disposition (Attachment 4). The updated policy provides uniformity and consistency with specific definitions for the types of documents that are applicable to the policy, the process for retaining and destroying documents, and exceptions to the policy. The revised policy also includes a schedule that includes the title and description of records, the retention period, and the location where the records are stored. The schedule is meant to cover all potential documents and records in the course of a governmental entities business.

# STRATEGIC PLAN & FISCAL SUMMARY:

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

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

- August 2018 Approved the updated Administrative Policies and Procedures.
- August 2017 Approved the updated Administrative Policies and Procedures.

#### **RECOMMENDED ACTION:**

Approve the updated 2019 Administrative Policies and Procedures.

#### **ATTACHMENTS:**

- 1. Administrative Policies and Procedures 2019 Summary of Changes
- 2. Technical Advisory Committee Policy 2.5
- 3. Public Records Request Policy 2.6
- 4. Document Retention Policy 6.7

Contact: Kelly Pijl



# Attachment 1 2019 Review Summary Administrative Policy Guidelines

1.0	Background and Rosters	
1.1	Introduction and Purpose	
1.2	Administrative Policy Guidelines Maintenance and Revision	
1.3	Commission Overview	Updated paragraph describing
110		First 5 Orange County

2.0	Governing Structure	
2.1	State Authorization Policy	
2.2	County Authorization Policy	
2.3	County Support Services Agreement Policy	
2.4	Commission Bylaws	
2.5	Technical Advisory Committee	Renamed the Technical
	Advisory/Pediatric Health Services Committee	Advisory Committee (TAC),
		removed references to Pediatric
		Health Services Committee and
		updated roster to add new
		members.
2.6	Public Records Request	Expanded policy to reflect
		updated state requirements.

3.0	General Operations	
3.1	Risk Management Insurance Coverage Policy	
3.2	Authorized Signature Policy	
3.3	Emergency Operations Policy	

4.0	Financial Management	
4.1	Revenue and Expenditure Policy	
4.2	Fund Balance Policy	
4.3	Operating Budget Development and Amendment Policy	
4.4	Investment Oversight and Monitoring	
4.5	Fixed Asset Policy	
4.6	Financial Audit and Reporting Policy	
4.7	Multi-Year Financial Plan Policy	
4.8	Administrative Cost Policy	Updated to reflect all staff and assignments
4.9	AB109 Policy	
4.10	Check Deposit Policy	
4.11	Claims against the Commission Policy	

4.12	Financial Record Retention Policy	
4.13	Speaker Expenses Reimbursement Policy	Removed reference to old
		honoraria limit and inserted
		Executive Director purchase
		limit language
4.14	Membership	

5.0	Program Management	
5.1	Program Funding Policy	Updated to reflect renewal
		funding panels and new
		strategic plan
5.2	Annual Strategic Plan Policy	Added new strategic plan
		adoption April 2019
5.3	Annual Report Policy	
5.4	Outcome Collection, Evaluation and Reporting System	Updated to clarify multiple
	Policy	databases are utilized
5.5	Data Reporting and Evaluation Policy Guidelines	Updated language and removal
		of provision no longer
		applicable.
5.6	Confidentiality & Data Sharing	Updated to reference desktop
		procedures

6.0	Purchasing and Contract Management	
6.1	Goods and Services Purchasing Policy	
6.2	Office Supplies Purchasing Policy	
6.3	Petty Cash Policy	
6.4	CAL Card Purchasing Policy	
6.5	Travel Request and Approval Policy	
6.6	Stipend and Expense Reimbursement Policy	Revised to replace Pediatric Health Services to Technical Advisory Committee per Policy 2.5
6.7	Records Retention and Disposition Policy Contract Retention Policy	Revised to provide uniformity and consistency for retaining and destroying documents and adds a schedule of documents for retention/destruction
6.8	Contract Management	Removed references to outdated programs and tools
6.9	Release of Funds Owed to Commission Contractors	Removed reference to former compliance team
6.10	Federal Purchasing Policy	

7.0 Personnel Management Policies	7.0 Personnel Management Policies	
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7.1	Personnel and Salary Policy	Added language to reflect employee bonus process and updated language on part-time leave to conform to current legal requirements
7.2	Discrimination, Harassment and Violence Prohibition Policy	
7.3	Electronic System	
7.4	Payroll and Timekeeping Policy	
7.5	Conflict of Interest	Clarified consultants subject to filing
7.6	Gift Ban Policy	
7.7	Controlled Substance Policy	
7.8	Dress Code	
7.9	Fraud Prevention	
7.10	Tuition Reimbursement	

8.0	Strategic Communications	
8.1	Media Interaction Policy	
8.2	Use of Commission Name and Logo Policy	
8.3	Mass Mailing Policy	
8.4	Photograph Release Policy	



Attachment 2

# POLICIES AND PROCEDURES NO: 2.5

# TECHNICAL ADVISORY COMMITTEE

# PURPOSE

The California Children and Families Act, under Section 130145 of the California Health and Safety Code, requires that each county commission establish one or more advisory committees to provide technical and professional expertise that will be beneficial in accomplishing the purposes of the Act.

Members of First 5 Orange County Children and Families Commission select the Technical Advisory Committee (TAC) members based on expertise in pediatric health, early education, and early childhood development. Ideal TAC members will represent the Orange County Health Care and Social Services agencies, CalOptima, the Orange County Department of Education, as well as from philanthropic and business organizations. The TAC members are responsible for providing technical advice and recommendations to help inform the decisions and actions of the First 5 Orange County Commission.

Recommendations will align with the goals and objectives, as defined in the Strategic Plan, with specific focus on investments and partnerships that lead to cross-sector, systems-level impact. The TAC members will support and monitor the program evaluation process, review existing programs to maximize impact, ensure coordination and alignment with other community programs and services, and review new or emerging programs and systems that have the potential to improve outcomes for young children.

The TAC will meet three times per year, or as needed, following the regular First 5 Orange County Commission meetings on the first Wednesday of the designated months. Meeting agendas are distributed to TAC members on the Friday before the scheduled meeting. Copies of the meeting agenda will be posted at the location of the meeting and made available to the public in compliance with the Brown Act. Copies of staff reports or other presentation materials will be made available to the public on the day of the meeting.

#### **Quorum Requirements:**

- A majority of the Technical Advisory Committee members, or their alternates, shall constitute a quorum.
- The First 5 Orange County Executive Director or the Commission Counsel designee is required to be in attendance at any meeting where formal voting action is taken.

#### Stipends and Reimbursement of Members:

- First 5 Orange County Commission Members shall receive no stipends for meetings.
- Non-First 5 Orange County representatives shall receive the same stipend as specified for First 5 Orange County Commission Members for meetings and are eligible for reimbursement of direct expenses incurred for Technical Advisory Committee duties, subject to First 5 Orange County's reimbursement policy.

#### **POLICY STATEMENT**

It is the policy of First 5 Orange County to comply with California Health and Safety Code Section 130145, Proposition 10 Statutes to the California Children and Families Act, requiring the establishment of one or more advisory committees to provide technical and professional expertise and support that will be beneficial in accomplishing the purposes of the Commission.

#### ATTACHMENT

1. Technical Advisory Committee Roster

# **TECHNICAL ADVISORY COMMITTEE**

# NAME

Sandra Barry - Vice Chair (Commissioner Representative)

Ramin Baschshi, M.D. (Commissioner Representative)

Frank Donavan, Ed.D. Magnolia School District

(Superintendent Liaison) David Núñez, MD (Family Health Medical Director

Orange County Health Care Agency)

Vacant

(Public Member)

Kimberly Goll (Ex-Officio, Non-Voting Member)



#### Attachment 3

# POLICIES AND PROCEDURES NO: 2.6

# PUBLIC RECORDS REQUESTS POLICY

# PURPOSE

The California Public Records Act (Government Code section 6250 et seq.) provides members of the public with access to inspect and copy public records maintained by public agencies. The purpose of this policy is to permit public access to public records in compliance with state law and to provide guidelines for responding to requests from the public for access to records of the First 5 Orange County Children and Families Commission.

# **DEFINITIONS**

- Public Record includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by the Commission regardless of physical form or characteristics. (Government Code §6252(e))
- Writing means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. (Government Code §6252(g))

# **POLICY STATEMENT**

It is the policy of the Commission that:

- The Commission will provide the public with access to its records to the fullest extent required by the California Public Records Act, Government Code section 6250 et seq. (hereinafter referred to as the "Act").
- All requests to inspect and/or copy Commission records are referred to the Executive Director.
- The Commission will process all requests to inspect and/or copy public records in accordance with the requirements of the Act and as set forth herein.
- Assisting the Requestor When a member of the public makes a request for inspection and/or copies of public records, the Commission must assist a requestor who is having difficulty making a focused and effective request. To the extent reasonable under the circumstances, the Commission shall:
  - Assist the requestor to identify records and information that are responsive to the request, or to the purpose of the request, if stated.
  - Describe the information technology and physical location in which the records exist.
  - Provide suggestions for overcoming any practical basis for denying access to the records or information sought.

- The above requirements shall be deemed to have been satisfied if the Commission is unable to identify the requested information after making a reasonable effort to elicit additional clarifying information that will help identify the records.
- Inspection of Public Records All public records will be open to inspection during Commission business hours. Upon receipt of a request for the inspection of public records, the appropriate department shall be contacted to obtain responsive records, and the Commission shall notify the requesting party of the date and time for the inspection of records to take place.
  - To ensure that Commission records are not misfiled, stolen, destroyed, and/or damaged, inspections of Commission records may be required to be conducted in the presence of the Executive Director, or an authorized designee.
  - The inspecting party shall not remove records from a file.
  - The Commission reserves the right to place reasonable time limits on record inspections during regular office hours if unusual circumstances warrant. For example, if the inspection is voluminous and time-consuming, the Commission may reasonably limit the number of hours per day for inspection if such inspection would create a staffing hardship for the Commission. However, in all cases, the Commission shall endeavor to permit inspections of records during all posted office hours.
- Copying of Public Records Upon receipt of a request for copies of public records, the appropriate department shall be contacted to obtain the records, and the Commission shall notify the requestor in writing, within ten days of receipt of the request, of the date and time that copies will be available, as well as the cost for copies of the records.
  - If the Commission cannot make a determination within ten days, as to whether the request, in whole or in part, seeks copies of disclosable public records in the possession of the Commission, the Executive Director, or designee, shall work with Commission Counsel to obtain an extension of time, in writing, for up to 14 calendar days, pursuant to the Act.
  - All charges and fees for the duplication of records shall be as set forth below. Copies of records shall not be provided to a requesting party prior to payment of all applicable fees and charges.
- Records Exempt from Disclosure Certain records may be exempt from disclosure pursuant to state or federal law. The Commission will not disclose any record that is exempt from disclosure.
  - Upon the determination to withhold a requested record from disclosure pursuant to the Act, the Executive Director, in conjunction with Commission

Counsel, shall notify the requestor in writing of such decision and the reasons therefore.

- Any reasonably segregable portion of a record shall be provided to a requesting party after redacting the portions which are exempt by law.
- Inspection and Copying of Sensitive Public Records If the Executive Director, in his or her discretion, determines that a request for inspection and/or copies is of a sensitive nature, the Executive Director shall provide copies of the request to the Commission Counsel, and Commission Counsel shall work with the Executive Director to formulate the Commission's response to the request pursuant to the Act.
- Requests for Electronic Records
  - If the requestor seeks records in an electronic format, the Commission will provide the records in any electronic format in which the Commission maintains the records.
  - If the request seeks electronic records in a specific type of electronic format, the Commission will provide the electronic records in the requested format if it is a format that has been used by the Commission for its own use.
- Fees for Copies of Records
  - o The following fees will be assessed if copies are produced by the Commission:
    - Paper Records ten cents (\$.10) per page if the total number of pages exceeds 100.
    - Actual postage costs if records are mailed.
    - The Commission may charge the cost of producing a copy of an electronic record in accordance with Government Code section 6253.9, including the cost to construct a record, the cost of programming, and computer services necessary to produce a copy of the record if:
      - The requestor seeks a copy of an electronic record, and the record is produced only at otherwise regularly scheduled intervals; or
      - The request would require data compilation, extraction, or programming to produce the record.
  - All fees must be paid prior to receiving the copies of the records. In situations that involve copying of voluminous documents, the Commission may require a deposit of 50 percent of the estimated fees prior to beginning copying.
  - Payment shall be by cash or check only.
  - Fees may be waived at the discretion of the Executive Director to active Commission Members, past Commission Members, active Commission

employees, retired Commission employees, and in most circumstances, other public agencies.



Attachment 4

# POLICIES AND PROCEDURES NO: 6.7

# **RECORDS RETENTION AND DISPOSITION POLICY**

# PURPOSE

This policy provides guidelines for the retention, management, and disposition of records to ensure that the First 5 Orange County Children and Families Commission Records, as defined by this policy, are maintained and disposed of in accordance with state and federal laws. This policy applies to all Commission Records that are prepared, owned, used, or retained by the First 5 Orange County.

# DEFINITIONS

- <u>Commission Record</u> Any writing containing information relating to the conduct of the public's business that is prepared, owned, used, or retained by the Commission, regardless of physical form or characteristics. (Government Code §6252(e))
- <u>Writing</u> Any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. (Government Code §6252(g))

# **POLICY STATEMENT**

- The Executive Director is responsible for interpreting and implementing this policy and to cause to be destroyed any and all Commission Records in accordance with this policy.
- The Commission shall generally retain all Commission Records in their original form for two years, unless otherwise specified in Schedule A or an applicable exception to this policy. If a Commission Record falls within more than one category in Schedule A, it shall be kept for the longer Retention Period.
- The Commission maintains hard-copy files located in the Commission's office and electronic documents and data in electronic folders, email, on the shared electronic drive, and in the online evaluation and contracts management system. The Commission Clerk of the Board maintains records at County of Orange facilities and electronic files. The Executive Director shall determine the appropriate method to maintain and store Commission Records. Storage locations may include both on-site and off-site locations. Commission Records shall not be stored on a personal device or account.
- This policy does not apply to preliminary drafts, working notes, inter- or intra-agency memoranda, or other records that are not kept in the ordinary course of business and the retention of which is not necessary for the discharge of the Commission's or Staff's official duties. Such records may be destroyed at any time, subject to an applicable exception to this policy or a pending California Public Records Act request.
- Upon approval by the Executive Director, the Commission may destroy any original Commission Record after two years or after the expiration of the Retention Period specified in Schedule A, without the Commission retaining a duplicate record or copy thereof. The Executive Director may authorize the destruction of any duplicate Commission Records, including duplicates less than two years old, if not needed to conduct Commission business. The Commission will make every effort to dispose of records in a timely fashion once the applicable Retention Period expires.
- Destruction of Records
  - Upon expiration of applicable Retention Periods, Commission Records will be processed for destruction and placed in paper recycling barrels or an alternate method deemed appropriate by the Executive Director.
  - Any record that contains client information such as Date of Birth, address, Social Security Number, and/or phone number shall be treated as confidential, segregated from non-confidential records, and shredded.
- The Commission may retain electronic copies of records in lieu of original Commission Records if all of the following requirements are met:
  - The record is photographed, microphotographed, reproduced by electronically recorded video images on magnetic surfaces, records in the electronic data processing system, recorded on optical disk, reproduced on film or any other medium that does not permit additions, deletions, or changes to the original document, or reproduced on film, optical disk, or any other medium in compliance with Government Code §12168.7 for recording of permanent records or nonpermanent records.
  - The device used to reproduce the record, paper, or document on film, optical disk, or any other medium is one which accurately and legibly reproduces the original thereof in all details and that does not permit additions, deletions, or changes to the original document images.
  - The photographs, microphotographs, or other reproductions on film, optical disk, or any other medium are made as accessible for public reference as the original records were.
  - A true copy of archival quality of the film, optical disk, or any other medium reproductions shall be kept in a safe and separate place for security purposes.

### EXCEPTIONS

- Audit documents with findings that require resolution Contract Administrators are responsible for ongoing identification of all audited contract records with "findings" that require research, resolution, and formal follow up action with the auditors. These records shall not be destroyed or sent to storage until final resolution of all audit findings.
- Claims/litigation Any Commission Records that relate to a potential or pending claim under the Government Claims Act (Government Code §810 et seq.) or that pertain to current or future litigation shall be retained until the claim or litigation is resolved and all appeals are exhausted. This applies to both originals and copies of Commission Records.

- Historical/Research Value Any Commission Records that are important for historical/research value for conducting Commission business (i.e. records for long-term transactions, special projects, related to pending or future audits, or necessary for future guidance, etc.) may be retained for a longer period than two years and then destroyed when the matters pertaining to such records are completely resolved and the records are no longer needed to conduct Commission business.
- State/federal law requirement Notwithstanding this policy or Schedule A, any and all Commission Records that are required to be retained for a certain period of time under state or federal law(s) or regulation(s) shall be retained in compliance with such law(s) or regulation(s).
- Clerk of the Board records Any original records maintained by the Commission Clerk of the Board shall be kept in accordance with the County of Orange records retention policy.

### Attachment

Commission Records Retention and Disposition Policy No. 6.7 - Schedule A

Item #	Title and Description of Records	Retention Period	Location	Notes
1.	Accounting/Financial Records Expense Reports, Budgets, Billing/Accounting Reports, Invoices, Receipts, Payments, Ledgers, and Registers	AU + 3	Commission office and 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	р	Commission office and electronic files	Retain records permanently.
3.	Commission Meeting Records Agendas, minutes, and staff reports	р	Commission office and electronic files	Retain records permanently.
4.	Commission Meeting Records Resolutions, agendas, signed minutes, and recordings for public meetings of the Commission and any subcommittees; stipend forms; Commissioner attendance; Commissioner directives; and supporting documents	р	County of Orange Clerk of the Board	Retain records permanently.
5.	Contracts Original signed contracts	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 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	CL + 3	Commission office and electronic files	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. 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.
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.
8.	Employee Benefits Enrollment documents, Plan Documents, Billing payments, COBRA, and Disability records	CU + 6 years	Commission office 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 Applications, release authorizations, certifications, reassignments, outside employment, disciplinary actions, terminations, evaluations, fingerprints, ID	T + 2 years	Commission office and electronic files	Retain records for a period of 2 years after the term of employment has ended. GC §12946 (Unlawful Employment Claims – 2 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

	cards, Family leave, medical certifications and tests, and pre-employment physical documents			year); 29 CFR §825.500 (FMLA – 3 years); GC §12946 (applies to CFRA – 2 years)
10.	Employee Policies, Forms, and Handouts General Employee information, including benefit plans, forms, and handouts provided to Employees	CU + 2 years	Commission office and electronic files	Retain current records for a period of 2 years. GC §12946 (Unlawful Employment Claims – 2 years); 29 CFR §1602.31 (Title VII and ADA – CU +2 years); 29 CFR §1627.3(a) (ADEA – 1 year)
11.	Employee Programs Includes commendations, awards, and recognitions	CU + 3 years	Commission office and electronic files	Retain current records for a period of 3 years. GC §12946 (Unlawful Employment Claims – 2 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 Employee Forms and training materials including training for volunteers and internships and sexual harassment training records	CU + 3 years	Commission office and electronic files	Retain current records for a period of 3 years, unless otherwise required by law. 2 CCR §7288.0 (b)(2) (sexual harassment training – 2 years); GC §12946 (Unlawful Employment Claims – 2 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 Governing records including Bylaws, Strategic Plans, and records essential to Commission operations	Р	Commission office and electronic files	Retain records permanently.
14.	Grant Records Commission grant applications, agreements with grant source/agency, accounting records, grant audits, and supporting records	CL + 3	Commission office and 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.

15.	Intellectual Property 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	Life of the intellectual property right + 7 years	Commission office and 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 Includes classifications and wage rates, related staff reports, classification studies and surveys, and reclassification records	CU + 3 years	Commission office and electronic files	Retain current records for a period of 3 years. GC §12946 (Unlawful Employment Claims – 2 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)
17.	Payroll Records	р	Commission office and electronic files	Retain records permanently.
18.	Policies and Procedures	CU + 2 years	Commission office and electronic files	Retain current policies and procedures for 2 years after revised policies and procedures are approved or adopted.
19.	Procurements Requests for proposals, invitations for bids, proposals, bids, requisitions, evaluation materials, correspondences, and supporting records	CL + 3 years	Commission office and electronic files	Retain records for 3 years after procurement has closed.
20.	Property Records Deeds, titles, leases, and other records relating to real property	S	Commission office 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.

# COMMISSION RECORDS RETENTION AND DISPOSITION POLICY NO. 6.7 – SCHEDULE A

21.	Recruitments Applications, resumes, lists/logs, indices, ethnicity disclosures, examination materials & answer sheets, job bulletins, eligibility, release of information forms for recruitments, and electronic database	CU + 3 years	Commission office and electronic files	Retain current records for a period of 3 years. GC §12946 (Unlawful Employment Claims – 2 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 OCERS, Social Security, and Supplemental Security Income	CU + 6 years	Commission office and 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 OSHA logs, reports, and inspections	Employee exposure records: T + 30 years Cal/OSHA Form 300: 5 years	Commission office and electronic files	Retain all records of employee exposure for 30 years after the term of employment. Retain all Cal/OSHA Form 300 records for a period of 5 years. 8 CCR §3204(d) (exposure); 8 CCR §14300.33 (Illness/Injury); 29 CFR §1910.1020 (exposure)
23.	Statements of Economic Interests (Form 700)	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.
24.	Unemployment Records Claims, reports, and related records	CU + 4 years	Commission office and 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)
25.	Workers' Compensation Claim files, reports, incidents (working files), and originals filed with administrator	CL + 5 years	Commission office and electronic files	Records must be retained for a minimum of 5 years from the date of injury or the date workers' compensation benefits were last provided, whichever is later. Only closed files that have no future medical can be destroyed. 8 CCR §10102 (Open claim file retained 5 years from date of injury or date compensation benefits were last provided, whichever is later. Original files of closed claims must be retained for 2 years. All claims files retained minimum of 5 years from date of injury.); 8 CCR §15400.2 (Claim files kept for 5 years); 8 CCR §10103.2(a) (Claims log must be created and retained for 5 years)
26.	Vista and Americorps Records and supporting documents related to Vista and Americorps programs	7 years	Offsite storage	Retain records for a period of 7 years.

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



Agenda Item 6 August 7, 2019

DATE:	July 23, 2019
TO:	Children and Families Commission of Orange County
FROM:	Kimberly Goll, Executive Director Kimberly Hours
ACTION:	Adopt resolution authorizing a two-year lease agreement with the Orange County Shared Spaces Foundation

### SUMMARY:

First 5 Orange County Children and Families Commission currently leases office space at The Village in Santa Ana. The lease is due to terminate on October 31, 2019. This agenda item requests authorization to renew the two-year lease agreement with the Orange County Shared Spaces Foundation for office space effective November 1, 2019.

### **DISCUSSION:**

A core tenet of the Commission's operations is to limit or reduce administrative costs. In July 2013, an original three-year lease agreement was approved with the Orange County Shared Spaces Foundation for office space located at The Village at 17<sup>th</sup> Street in Santa Ana. In September 2016, a three-year extension was approved through October 2019. The terms to extend the lease for two additional years will include a rate increase. The current rate of \$1.40 per square foot will increase to \$1.45 for year one of the extension and \$1.48 for year two. An average office space lease rate in central Orange County is currently close to \$2.00 per square foot. In addition to the stable and affordable lease rates, the building tenants have access to common areas, meeting rooms and training resources at no additional cost. The purpose of a two-year term is to secure office space until relocation to the administration section of Pretend City Children's Museum as presented at the June 2019 Commission meeting.

Attachment 1 provides the terms for the proposed lease extension. Renewal of a two-year lease agreement with the Orange County Shared Spaces Foundation for office space at The Village at 17<sup>th</sup> Street is recommended. Pending Commission direction, staff will work with Commission counsel to execute a lease agreement consistent with Attachment 1.

The Village was the first nonprofit center in the County and was created as a project funded by the Orange County Shared Spaces Foundation. Major funders of the Foundation include several of the Commission's funding partners including the Podlich Family Fund, Nancy and William Thompson Family Foundation, Pacific Life Foundation, Orange County Community Foundation and others. The Shared Spaces Foundation's mission is to develop quality, affordable, and stable multi-tenant nonprofit centers that strengthen Orange County's nonprofit organizations. This focus on strengthening the nonprofit sectors aligns well with the Commission's priority and is evidenced by the over 20 nonprofit organizations that are tenants within The Village.

# STRATEGIC PLAN & FISCAL SUMMARY:

This agenda item is consistent with the Commission's Strategic Plan and is included in the Fiscal Year 2019/2020 approved budget. The funding to support the office lease is included in the budget within the administrative funding category.

# PRIOR COMMISSION ACTION:

- July 2013 Approved Three-Year Office Lease
- September 2016 Approved Three-Year Office Lease Extension

### **RECOMMENDED ACTION:**

Adopt resolution authorizing the Executive Director to enter into agreement with the Orange County Shared Spaces Foundation, for a two–year lease effective November 1, 2019 consistent with the terms and conditions outlined in this agenda item.

# **ATTACHMENTS:**

- 1. Proposed Term Sheet Commission Office Space
- 2. Resolution for Lease Agreement

**Contact:** Kim Goll

# Proposed Term Sheet Commission Office Space

Lease Date	November 1, 2019
Lessor	Orange County Shared Spaces Foundation
Location	"The Village at 17 <sup>th</sup> Street," 1505 East 17 <sup>th</sup> Street, Santa Ana, CA 92705
Total Square Footage	Approximately 4,235 net rentable square feet
Lease Term	November 1, 2019 – October 31, 2021
Rate	<ul> <li>Year 1 (Nov 19 – Oct 20) \$1.45 per net rentable square foot per month (\$6,141.00)</li> <li>Year 2 (Nov 20 – Oct 21) \$1.48 per net rentable square foot per month (\$6,268.00)</li> <li>Subject only to rent increases for Common Area Maintenance (CAM) as established and which may be applied for lease terms extending beyond two years</li> <li>No brokerage fees</li> </ul>
Maximum Payment Obligation	\$148,908
Agreed Use	General office and administrative activities
Common Access Space	Lease includes access to the following common areas: Conference Center Suite including a Board style meeting room, a training room with pantry, lunch room, day office cubicles for guest visitors, small conference room, and concierge reception.
Construction	Premises will be "as-is" condition, however, Lessor will complete carpet cleaning and touch-up painting.
Parking	General parking available at 18 <sup>th</sup> Street entry. No assigned parking.
Other	Access to monthly lunch time training services

### CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY

### RESOLUTION NO. \_\_\_\_-19-C&FC

### August 7, 2019

#### RESOLUTION OF THE **CHILDREN** AND **FAMILIES** Α OF COMMISSION ORANGE COUNTY DIRECTING THE EXECUTIVE DIRECTOR AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE THE FINAL FORM OF A LEASE AGREEMENT WITH THE ORANGE COUNTY SHARED SPACES FOUNDATION FOR COMMISSION OFFICE SPACE; 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, Commission desires to authorize the Executive Director and Commission Counsel to prepare and negotiate a two (2) year lease agreement for Commission office space with the Orange County Shared Spaces Foundation, in a total amount not to exceed \$148,908, beginning on or about November 1, 2019; and

WHEREAS, Commission has reviewed the staff report relating to the proposed terms and conditions of the lease agreement for Commission office space and hereby finds and determines that the proposed lease 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 two (2) year lease agreement for Commission office space with the Orange County Shared Spaces Foundation, in a total amount not to exceed \$148,908, beginning on or about November 1, 2019.

# 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 Executive Director and Commission Counsel to prepare and negotiate the terms, conditions and final form of a two (2) year lease agreement for Commission office space with the Orange County Shared Spaces Foundation, in a total amount not to exceed \$148,908, beginning on or about November 1, 2019, consistent with the staff report for this Agenda Item and the proposed term sheet for Commission office space attached thereto as Attachment 1.

<u>Section 3</u> The form of the final two (2) year lease agreement for Commission office space with the Orange County Shared Spaces Foundation shall be reviewed and approved by the Executive Director. The approval by the Executive Director of the lease agreement shall be conclusively evidenced by the execution and delivery of the lease agreement by the Commission Chair to the Commission Clerk.

Section 4 Commission hereby approves the two (2) year lease agreement with the Orange County Shared Spaces Foundation for Commission office space, as specified in the August 7, 2019 staff report for this Agenda Item and the proposed term sheet for Commission office space attached thereto as Attachment 1.

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

<u>Section 6</u> A copy of the final lease agreement with the Orange County Shared Spaces Foundation, 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 lease agreement shall be placed on file in the office of the Clerk of the Commission.

<u>Section 7</u> In addition to the authorization of Section 2 above, the Executive Director (or designee) is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the lease agreement, (ii) to cause the issuance of warrants, (iii) to administer the Commission's obligations, responsibilities, and duties to be performed under such agreement, and (iv) during the term thereof to provide waivers, administrative interpretations, and minor modifications of the provisions of such agreement 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 August 7, 2019 to wit:

AYES	Commissioners:	
NOES:	Commissioner(s):	
EXCUSED:	Commissioner(s):	
ABSTAINED:	: Commissioner(s)	
	CHAIR	

CHAIK

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: -19-C&FC

Agenda Date: August 7, 2019

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 lease agreement with the Orange County Shared Spaces Foundation)



Agenda Item 7 August 7, 2019

DATE:	July 26, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumbelly Holl
ACTION:	Authorize agreement with First 5 California to receive Dual Language Learner Pilot Study funding, and adopt resolution authorizing agreement with the Orange County Department of Education

### SUMMARY:

First 5 California awarded First 5 Orange County Children and Families Commission funding to participate in the evaluation of a Dual Language Learner Pilot (DLL). This item provides background information for the DLL Pilot Study, summarizes the Commission's participation, and authorizes an agreement to receive the funds from First 5 California and an agreement with the Orange County Department of Education to serve as county liaison for the DLL Pilot.

### **DISCUSSION:**

In July 2016, the First 5 California Commission approved \$20 million in funding for the Dual Language Learner Pilot Study, which included \$7.5 million for evaluation and \$12.5 million to identify and promote effective and scalable practices. Included below are the goals of the DLL Pilot.

- Understand strategies used to support children's home language and promote dual language acquisition in a range of early learning setting types (centers, family childcare, and unlicensed community-based settings).
- Identify the instructional, family engagement, and professional development strategies used in early care and education (ECE) programs that are associated with positive outcomes for DLL children and their families.
- Understand the conditions under which these strategies are most effective and scalable.

Results from the DLL Pilot Study will be used to inform California policy, contribute to national research, and be used to improve coaching, training, and other supports for early childhood educators.

In September 2017, First 5 California awarded the evaluation contract to the American Institutes for Research (AIR) to develop and carry out the DLL Pilot Study. AIR identified a representative sample of counties to participate in the study based on the number of DLLs and mix of languages spoken in the county. AIR will collect data from approximately 360 early learning programs in the selected counties.

### First 5 Orange County and OCDE's Role

First 5 Orange County was selected as one of 16 counties throughout the state to support the implementation of the DLL Pilot Study. Participating counties are responsible for appointing an incounty liaison to communicate with and assist early learning settings, educators, and parents

1505 East 17th Street Suite 230 Santa Ana CA 92705 telephone 714 834 5310 Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee

Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez identified by AIR to participate in the study and act as the fiscal agent to compensate educators and parents for the time and data they provide.

The Orange County Department of Education (OCDE) is recommended to serve as the in-county liaison. The liaison's scope will entail collecting site, teacher, parent, and child-level data to answer the research questions approved by First 5 California. OCDE is well positioned to accomplish these responsibilities because of the organization's unique understanding of the county context. They have the ability to leverage established relationships and trust within the early learning settings to encourage and maintain the highest level of participant involvement in the study.

First 5 California is providing \$166,835 of funding to offset the costs of the in-county liaison and to provide stipends for participating parents and educators. Entering into an agreement with First 5 California is recommended to receive the \$166,835 and subsequently enter into an agreement with OCDE to ensure that the in-county liaison role is fulfilled.

# STRATEGIC PLAN & FISCAL SUMMARY:

The recommended actions have been reviewed in relations to the Strategic Plan and are consistent with Quality Early Learning. The Commission's Fiscal Year 2019/2020 budget would be amended to reflect the funding from First 5 California and related expenditures to OCDE.

### **PRIOR COMMISSION ACTIONS:**

None

# **RECOMMENDED ACTIONS:**

- 1. Adopt resolution (Attachment 1) authorizing the Executive Director, or designee, to enter into agreement with First 5 California to receive up to \$166,835 for a term of 18 months for the Dual Language Learner Pilot Study.
- 2. Adopt resolution (Attachment 2) authorizing the Executive Director, or designee, and Commission Counsel to prepare and negotiate an agreement with the Orange County Department of Education for the Dual Language Learner Pilot Study for a maximum funding amount of \$166,835 and for the term July 1, 2019 to December 31, 2020.

### **ATTACHMENTS:**

- 1. Resolution First 5 California
- 2. Resolution Orange County Department of Education

**Contact**: Tiffany Alva

### CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY

# RESOLUTION NO. \_\_\_-19-C&FC

### August 7, 2019

#### RESOLUTION OF THE CHILDREN AND **FAMILIES** Α COMMISSION ORANGE COUNTY OF DIRECTING THE EXECUTIVE DIRECTOR AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AGREEMENT WITH FIRST 5 **CALIFORNIA; AND, AUTHORIZING APPROVAL AND EXECUTION** OF SUCH AMENDMENTS 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**, the Commission desires to prepare and negotiate an Agreement with First 5 California, hereinafter referred to as the "Grantor," identified in the staff report for the August 7, 2019 Commission meeting, to participate in the evaluation of a Dual Language Learner Pilot for the terms and in the amounts and on the conditions as described in therein; and

**WHEREAS**, Grantor desires to enter into agreement 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 staff report for the August 7, 2019 Commission meeting relating to the scope 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 Grantor for the terms and in the amounts and on the conditions as specified in the August 7, 2019 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 Executive Director, or designee, and Commission Counsel to prepare and negotiate the Agreement with Grantor as described in the August 7, 2019 staff report for this Agenda Item.

**Section 3** The form of the Agreement with Grantor shall be for the terms and conditions specified in the August 7, 2019 staff report for this Agenda Item and reviewed, negotiated, and approved by the Executive Director, or designee, and Commission Counsel. The approval by the

Executive Director, 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 Grantor for the terms and conditions as specified in the August 7, 2019 staff report for this 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.

<u>Section 7</u> In addition to the authorization of Section 2 above, the Executive Director, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreements(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 August 7, 2019 to wit:

AYES	Commissioners:
NOES	Commissioner(s):
EXCUSED	Commissioner(s):
ABSTAINED	Commissioner(s):
	CHAIR
STATE OF CA	LIFORNIA )

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: \_\_\_\_\_-19-C&FC

Agenda Date: August 7, 2019

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. \_\_\_-19-C&FC

### August 7, 2019

RESOLUTION OF THE CHILDREN AND FAMILIES Α ORANGE COUNTY DIRECTING COMMISSION OF THE EXECUTIVE DIRECTOR AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AGREEMENT FCI-DLL-01 WITH ORANGE COUNTY DEPARTMENT OF EDUCATION: 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, the Commission desires to prepare and negotiate an Agreement with Orange County Department of Education, hereinafter referred to as the "Contractor," identified in the staff report for the August 7, 2019 Commission meeting, to act as the in-county liaison in the evaluation of a Dual Language Learner Pilot for the terms and in the amounts and on the conditions as described in therein; and

**WHEREAS**, Contractor desires to enter into Agreement No. FCI-DLL-01 ("Agreement") with Commission 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 staff report for the August 7, 2019 Commission meeting relating to the scope 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 Contractor for the terms and in the amounts and on the conditions as specified in the August 7, 2019 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 Executive Director, or designee, and Commission Counsel to prepare and negotiate the Agreement with Contractor as described in the August 7, 2019 staff report for this Agenda Item.

<u>Section 3</u> The form of the Agreement with Contractor shall be substantially similar to a standard School District Agreement, subject to minor, non-substantive revisions as reviewed and approved by the Executive Director, or designee, and Commission Counsel. The approval by the Executive Director, 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 with the Contractor for the terms and conditions as specified in the August 7, 2019 staff report for this 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.

<u>Section 7</u> In addition to the authorization of Section 2 above, the Executive Director, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the Agreements(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 August 7, 2019 to wit:

AYES	Commissioners:
NOES	Commissioner(s):
EXCUSED	Commissioner(s):
ABSTAINED	Commissioner(s):
	CHAIR
STATE OF CA	LIFORNIA )

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: \_\_\_\_\_-19-C&FC

Agenda Date: August 7, 2019

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)



Agenda Item 8 August 7, 2019

DATE:	July 26, 2019
TO:	Children and Families Commission of Orange County
FROM:	Kimberly Goll, Executive Director Yumleley House
ACTION:	Adopt Resolution Authorizing an Amendment to the Agreements with Dental Transformation Initiative Local Dental Pilot Program Health Centers to Include Additional State Funding

### SUMMARY:

In September 2016, the First 5 Orange County Children and Families Commission was selected by the California Department of Health Care Services (DHCS), Dental Transformation Initiative, to lead a prevention-focused dental services project for children ages one to 20. This item includes an update on the project and a request to amend the maximum obligation amounts for agreements with two Federally Qualified Health Centers in order to include additional funding awarded by DHCS.

### **DISCUSSION:**

The Dental Transformation Initiative (DTI) is a State-led Medicaid Demonstration project designed to address persistent service gaps, low utilization of preventive services, and disproportionately high utilization of restorative dental care among children enrolled in Medi-Cal. The DTI aims to improve the health of California's most vulnerable children by promoting preventive care, increasing access, and using performance measures to drive delivery system reform. The goal of the DTI is to improve the Denti-Cal system and its outcomes for children by increasing the use of preventive dental services and enhancing continuity of care.

The California Department of Health Care Services (DHCS) will disburse up to \$750 million in funds through the DTI, over a five-year period, for the project. Funding will support direct incentives to Denti-Cal registered providers as well as selected pilot projects that address the key aims of promoting higher preventive service utilization, performing cavities risk assessment and disease management, and increasing continuity of care for children ages one through 20. Statewide, the DTI sets aside \$185 million for four years, including approximately \$46.25 million each year, to support the selected projects, known as Local Dental Pilot Programs (LDPPs). The Department of Health Care Services selected 15 LDPPs throughout the state, including the Commission's project.

The original funding award for Orange County was \$11,143,676, which includes a total of \$9,694,903 for subcontracts with service partners and \$1,299,085 for Commission staff and consultants to manage the program. To carry out the scope of work, the Commission subcontracted with four Federally Qualified Health Centers (FQHCs) and Healthy Smiles for Kids of Orange County to implement the virtual dental home teledentistry model at early learning and K-12 schools throughout the county. The four FQHCs include Central City Community Health Center, Families Together Community Health Center, Serve the People Community Health Center, and Vista Community Center (VCC) – the Gary Center.

Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee

Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez Program goals include:

- Implementing a dental warm line with care coordination to support timely access to appropriate care for children.
- Increasing access to preventive care for underserved children in community settings via teledentistry using Dr. Paul Glassman's virtual dental home model.
- Strengthening the Denti-Cal provider network's capacity and effectiveness to serve children through training and engagement of dental providers via community forums and summits.

Training and services commenced in September 2017. To date, the project has reached the following milestones:

- A total of six teledentistry units are serving numerous preschools, Head Start programs, elementary schools, and community sites throughout the county. Existing partnerships have expanded, and new agreements are continuously being developed with school districts, housing programs, and community college campuses.
- Four dental forum events have taken place, providing educational opportunities and Denti-Cal outreach to over 220 attendees. In addition, two dental summits resulted in connections with over 400 dental providers.
- Healthy Smiles has completed development of a call center that will provide direct referrals to families seeking a Denti-Cal provider. Working with an information technology vendor, the project developed policies, procedures, and a comprehensive database to ensure efficient services and relevant referrals, with room for future expansion.
- Health centers continue to participate in ongoing virtual dental home training with California Northstate University. Dr. Glassman (formerly with the University of the Pacific) recently hosted the first regional conference of all dental clinics operating the virtual dental home model. The conference provided continuing education for dental providers and opportunities for collaboration and shared learning with providers throughout Orange, San Bernardino, and Riverside counties.

In August 2018, the Commission applied for additional DTI funding in the amount of \$4,761,406.00. DHCS approved this funding request in June 2019. As a result of the additional funding awarded to the Commission, all four participating health centers and Healthy Smiles for Kids of Orange County will receive additional funds to carry out augmented scopes of work. Each provider submitted unique requests based upon the needs of their community. The additional funds will support increased staffing, additional equipment, and in some cases complete mobile units to support the full cycle of dental needs and ensure treatment completion by providing services directly in the neighborhoods surrounding virtual dental home locations. In addition, funding was allocated to support staffing and supplies for oral health education efforts and a marketing and outreach campaign for the call center referral activities. At this time, authorization is requested to increase the maximum obligation to three health centers, commensurate with the available funding amount.

# STRATEGIC PLAN & FISCAL SUMMARY:

The Dental Transformation Initiative Local Dental Pilot Project has been specifically reviewed in relation to the Commission's Strategic Plan and is consistent with the Comprehensive Health and Development goal area. The Fiscal Year 2019/2020 Budget and future years will be amended as necessary to reflect this funding from the California Department of Health Care Services and related program expenses.

# **PRIOR COMMISSION ACTIONS:**

- August 2018 Authorized amendments to agreements with LDPP participating community health centers to include additional equipment
- December 2017 Received update and authorized subcontracts with designated consultants to provide contract development and compliance, project management, and data management and report services
- August 2017 Received update and authorized subcontracts with designated community health centers
- October 2016 Authorized subcontracts with Healthy Smiles for Kids of Orange County, Coalition of Orange County Community Health Centers, and the University of the Pacific Arthur A. Dugoni School of Dentistry
- July 2016 Received notification of DHCS' release of LDPP grant application

# **RECOMMENDED ACTION:**

Adopt resolution (Attachment 2) authorizing the Executive Director, or designee, to amend the Agreements with the Dental Transformation Initiative Local Dental Pilot Programs health centers to increase the maximum contract obligations to include the training stipends as specified in the terms and in amounts and on conditions as specified in Attachment 1.

# ATTACHMENTS:

- 1. Dental Transformation Initiative-Local Dental Pilot Project: Community Health Centers Term Sheet
- 2. Resolution

Contact: Ilia Rolón

# Dental Transformation Initiative – Local Dental Pilot Project

	Community Heal	th Centers Term	n Sheet		
Description of Services	<ul> <li>Provide pediatric dental services, including development of a Virtual Dental Home (VDH) teledentistry unit.</li> <li>Provide care coordination to assist VDH patients who have been identified as needing follow-up or referral services.</li> <li>Track outcome data and provide quality documentation of patient caseload for evaluation.</li> <li>Purchase specialized clinical equipment required for VDH unit to provide dental services.</li> </ul>				
Contract Number	Provider	*Additional Funding	**Maximum Payment Obligation	Term	
FCI-DTI-03	Central City Community Health Center	\$12,000	\$489,545.68	8/2/17 – 12/31/20	
FCI-DTI-04	Families Together of Orange County	\$388,843	\$1,176,913.79	8/2/17 – 12/31/20	
FCI-DTI-06	Serve the People Community Health Center	\$721,926	\$1,176,033.79	8/2/17 – 12/31/20	

\* The above amount reflects additional funding awarded by the Department of Health Care Services on June 12, 2019.

\*\*Maximum payment obligation includes the additional funding plus prior executed amendment amounts which in some cases were lower than the amount previously authorized by the Commission.

### CHILDREN AND FAMILIES COMMISSION OF ORANGE COUNTY

### RESOLUTION NO. \_\_-19-C&FC

#### August 7, 2019

RESOLUTION OF THE CHILDREN AND **FAMILIES** Α COMMISSION ORANGE COUNTY DIRECTING OF THE EXECUTIVE DIRECTOR AND COMMISSION COUNSEL TO PREPARE AND NEGOTIATE AMENDMENTS WITH DENTAL TRANSFORMATION INITIATIVE LOCAL DENTAL PILOT PROGRAMS HEALTH CENTERS TO INCLUDE THE TRAINING STIPENDS; AND, AUTHORIZING APPROVAL AND EXECUTION OF SUCH AMENDMENTS 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, the Commission desires to prepare and negotiate Amendments to Agreements with each of the Dental Transformation Initiative Local Dental Pilot Programs health centers, hereinafter referred to as the "Contractors," identified in the staff report for the August 7, 2019 Commission meeting, for the terms and in the amounts and on the conditions as described in Attachment 1 therein;

WHEREAS, Contractors desire to enter into Amendments to their respective Agreements ("Amendments") in furtherance of the purposes of the Act and the Strategic Plan on the terms and conditions set forth in the applicable Amendments; and

**WHEREAS**, Commission has reviewed the staff report for the August 7, 2019 Commission meeting relating to the scope of services to be provided and hereby finds and determines that the proposed Amendments are 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 Amendments with the Contractors for the terms and in the amounts and on the conditions as specified in Attachment 1 to the August 7, 2019 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 Executive Director, or designee, and Commission Counsel to prepare and negotiate the Amendments with the Contractors as described in Attachment 1 to the August 7, 2019 staff report for this Agenda Item for the terms and in the amounts referenced therein.

<u>Section 3</u> The form of the Amendments with Contractors shall be substantially similar to a standard Non-Profit Agreement, subject to minor, non-substantive revisions as reviewed and approved by the Executive Director, or designee, and Commission Counsel. The approval by the Executive Director, or designee, of the Amendments shall be conclusively evidenced by the execution of such Amendments by the Commission Chair and delivery thereof to the Commission Clerk.

<u>Section 4</u> Commission hereby approves the Amendments with the Contractors as described in Attachment 1 to the August 7, 2019 staff report for this Agenda Item for the revised terms and conditions as specified therein.

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

Section 6 A copy of the Amendments 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 Amendments shall be placed on file in the office of the Clerk of the Commission.

<u>Section 7</u> In addition to the authorization of Section 2 above, the Executive Director, or designee, is hereby authorized, on behalf of the Commission, (i) to sign all documents necessary and appropriate to carry out and implement the 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 Amendments 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 August 7, 2019 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: \_\_\_\_\_-19-C&FC

Agenda Date: August 7, 2019

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 Amendments)



Agenda Item 9 August 7, 2019

DATE:	July 8, 2019	
TO:	First 5 Orange County Children and Families Commission	
FROM:	Kimberly Goll, Executive Director Jumleley House	
ACTION:	Receive update on the Bridges Maternal Child Health Network	

### SUMMARY:

First 5 Orange County Children and Families Commission's Bridges Maternal Child Health Network supports children's healthy development by screening families when a baby is born and providing the most appropriate type of home visitation services by public health nurses or trained paraprofessional staff for six to 24 months. This report provides an update on the Bridges Network and shares findings from program assessments and a review of outcomes data.

### **DISCUSSION:**

The Bridges Network comprises a continuum of maternal child health services, including 10 hospitals that, collectively, provide labor and delivery services for nearly 70 percent of the births in Orange County, and refer parents who may benefit from home visiting services to one of four organizations. These home visiting providers include MOMS Orange County, Children's Bureau, Orange County Child Abuse Prevention Center, and Orange County Health Care Agency/Public Health Nursing. First 5 Orange County invests \$4.58 million annually in Bridges Network services (MOMS Orange County uses intergovernmental transfer funds for the period of July 1, 2017 – June 30, 2021, and thus is excluded from this total). Attachment 1 describes the Bridges Network in more detail.

Since its inception as one of First 5 Orange County's Early Action Programs in 2000, the Bridges Network has expanded to better address the needs of Orange County families. The partnership with hospitals facilitates access to the greatest number and widest geographical distribution of newborns and their families, a nearly universal reach that is unique among home visiting programs in California. The Bridges Connect system, an electronic referral and data management platform funded by First 5 Orange County, unifies the Bridges Network and creates efficiencies for its providers. This combination of programs and technology positions the Bridges Network as a key service delivery system in Orange County, and could serve as a platform for a countywide prenatal to three system of care that links with, or incorporates all major providers of health, community, and social services for young children and their families.

### **Program Outcomes**

In 2018, First 5 Orange County engaged evaluators to explore how participation in Bridges programs impacted healthcare utilization by CalOptima members (CalOptima is Orange County's Medi-Cal managed care plan). Evaluators conducted a paired sample analysis of retrospective data for more than 1,000 mothers and 2,000 children to examine key Healthcare Effectiveness Data and Information Set (HEDIS) outcomes, including well-child visits, postpartum visits, nutrition and physical activity counseling, immunizations, and access to primary care from 2013 to 2016. Data on

1505 East 17th Street Suite 230 Santa Ana CA 92705 telephone 714 834 5310 Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee

Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez Executive Director Kimberly Goll emergency room visits were also studied. With the exception of nutrition and physical counseling (with a positive effect too small to qualify as significant), the positive effects for clients served by Bridges were statistically significant across all outcomes. The greatest differences were observed in Bridges clients' continued participation in well-child visits and utilization of postpartum care, with approximately 6% and 5% increases in each respectively. Other positive effects included a 4% greater immunization rate and 3% greater access to primary care found among Bridges clients.

It is important to note that the Bridges cohort for the HEDIS analysis included a broad range of participation in the Bridges Network, from the relatively light-touch intervention at hospital bedside to more intensive, multi-year home visiting services provided by public health nurses or trained paraprofessionals. Future analyses will attempt to discern the extent to which more intensive services may yield greater differences in outcomes. Since Bridges is a comprehensive maternal child health program that addresses multiple aspects of family functioning and wellbeing, future evaluation will also focus on measuring the effect of these services on psychosocial outcomes.

Programmatically, as Bridges continues to transition toward more rigorous standards with measurable outcomes, staff is exploring various evidence-based home visiting models that may be a good fit for diverse Orange County families. Adoption of additional evidence-based models could yield better population-level outcomes, and possibly generate additional revenue and sustainability by leveraging federal funding streams.

### **Renewal Considerations**

An intensive review of the Bridges Network conducted over the past three years identified a few limitations and untapped opportunities that could be addressed as part of the contract renewals process. For example, many families are not willing to accept home visiting when it is offered at the hospital bedside. It may feel too intrusive for some families, and in other cases, crowded living conditions and landlord prohibitions on guests may limit their ability to receive service providers in their home. In order to increase its reach, the Bridges Network could partner with other types of service providers to add new access points where families are more comfortable receiving services, such as pediatric primary care. The DULCE program, a national best practice being piloted at a busy CHOC Children's primary care clinic in Santa Ana, is an example of a complementary model that could enhance access to the Bridges Network by facilitating more effective transitions to prenatal-to-three services. DULCE staff develop a relationship with the family at every well-child visit during the baby's first six months. As trusted advisors, DULCE staff may be better-positioned to connect families with ongoing services, such as home visiting, upon completion of the DULCE program.

Additionally, there is a growing awareness of the prevalence of perinatal mental health issues among pregnant and new mothers, and the Bridges Network provides an ideal platform for more focused promotion of maternal and infant mental health. Home visitors can be trained to augment this aspect of their services, and to connect parents with perinatal mental health programs when indicated, while promoting the social and emotional development of the child. Moreover, additional planned connections can promote sustained family engagement across the continuum of birth to five, and facilitate more effective transitions to services for children ages 3-5 years, such as early learning and education.

Vast changes in the healthcare landscape over the past 20 years also suggest the need to revisit the following aspects of the Bridges program:

- Linkage to health insurance was initially a key goal of the program; however, the vast majority of babies born to low-income families are now eligible for some type of no-cost or subsidized coverage due to federal changes in coverage eligibility and financing. Appropriate and timely utilization of healthcare services remains relevant, as does connection with mental health and community services.
- There has been a major shift in the geographic distribution of births among Bridges hospitals, with some now serving significantly more birthing mothers than others. First 5 Orange County currently provides the same level of funding for all hospitals. This approach may need to be adjusted to address, not only the differences in volume, but the risk profiles of each hospital's birthing population. Data recently compiled by the Children's Data Network for an analysis of involvement in child protective services could be used to develop a better picture of how risks are distributed among the Bridges hospitals.
- Beginning in mid-2018, Orange County experienced a significant change in the delivery system for comprehensive perinatal services for low-income women when CalOptima discontinued its contract with a local community-based service provider for these services, which include a thorough assessment of mental health, social risks, and food and housing insecurity. Due to changes in state regulations related to contracting, CalOptima now encourages pregnant women to seek these services through their obstetricians, most of whom do not currently offer the Comprehensive Perinatal Services Program in their offices. County of Orange and community-based agencies continue to serve pregnant women referred to them for perinatal support services; however, access may become more limited over time as agencies are less able to draw upon their reserves to pay for staff.

Finally, robust partnership and collaboration among County of Orange agencies is helping to drive transformative improvements in early childhood systems of care. For example, First 5 Orange County currently contracts with the Orange County Social Services Agency to deliver two home visiting programs for special populations: the Neighborhood Resource Network for families with an unsubstantiated child abuse report, and the state and federally-funded CalWORKs Home Visiting Initiative for low-income first-time parents. At the same time, Commission staff are working closely with the Orange County Health Care Agency on selection of a common set of tools and measures for early childhood services, which will allow for better cross-program comparisons and evaluation of countywide investments in early childhood. The partnership has also resulted in increased use of Mental Health Services Act funding for early childhood mental health services. As these partnerships continue to gain momentum, the resulting improvements in systems should increase the likelihood of achieving measurably improved outcomes for children.

### **Renewal Process & Timeline**

Guided by results from this intensive program review, as well as input from focus groups and stakeholder interviews conducted over the past several months, a list of questions have been generated for the prenatal-to-three services renewal panel's consideration and discussion. A kick-off meeting was held in June, and a second meeting is scheduled for mid-August. It is anticipated the panel will conclude its work in December, with recommendations due to the First 5 Orange County Children and Families Commission in February 2020.
#### STRATEGIC PLAN & FISCAL SUMMARY:

The proposed action has been specifically reviewed in relation to the Strategic Plan and is consistent with the Comprehensive Health and Development and Resilient Families goals. No funding actions are included in this item.

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

- February 2018 Received report on Bridges Maternal Child Health Network evaluation activities.
- May 2016 Received report on the Neighborhood Resource Network/Prevention and Early Intervention Program.
- March 2016 Received report on Bridges Maternal Child Health Network.
- December 2016 Authorized agreement with Abt Associates for the Bridges Maternal Child Health Network prospective evaluation
- December 2015 Received Bridges Maternal Child Health Network project update and authorized amendments to agreements to provide Program Optimization Technical Services.

#### **RECOMMENDED ACTION:**

Receive update on the Bridges Maternal Child Health Network.

#### **ATTACHMENTS:**

- 1. Bridges Maternal Child Health Network Overview
- 2. Bridges Maternal Child Health Network Presentation

Contact: Ilia Rolón

### Bridges Maternal Child Health Network

Promoting family strength and healthy outcomes for Orange County's youngest children



#### Linking Children and Families with Needed Services

The Bridges Maternal Child Health Network (Bridges Network) supports children's success by identifying health and developmental concerns during the critical first years of life, and providing families with education, screening, and linkage to services including referrals for home visitation services by public health nurses and other professional staff. The goal of the program is to screen every child born in Orange County and their family and link them to appropriate, supportive services. Services are provided at no cost to families through an integrated system of community providers. Through this model of prevention and early intervention, the Commission is helping Orange County's children have the healthiest start possible and reducing the need for costlier, more complex intervention services.

#### BRIDGES NETWORK SERVICE PROVIDERS INCLUDE:



#### The Impact of Commission Investment

Outreach by Bridges Network agencies begins at the earliest possible time in a child's development, including work with pregnant mothers, bedside screening in the hospital when a child is born, and infant and toddler home visitation. As a result of this early outreach and bridge to services when needed, children's health needs and developmental concerns are identified and addressed earlier, more mothers receive early prenatal care and support for breastfeeding, more children are adequately immunized, and more children have and use a regular place for health care.

The Bridges Network is the Commission's largest program investment. The Commission invests nearly \$6 million annually in the Bridges Network to provide services to more than 17,000 children and their families (about 38,000 babies are born in Orange County each year).

Of the children and families receiving intensive services, appproximately 93% are low income families who are at or below 200% of the federal poverty level.



Among clients surveyed upon completion of the program, there was a 32.5% reduction in reported use of the emergency room as a child's primary location for routine medical care, according to preliminary data.

ANNUALLY, THE BRIDGES NETWORK SERVES APPROXIMATELY:

8,620 pregnant women

who receive hospital-based support for a healthy pregnancy and education on early childhood health

840

pregnant women who receive intensive prenatal services



13,030 mothers

who are screened with the Bridges Screening Tool and referred to services for their children and family as needed



1,390 infants who receive home visitation services



#### 760 toddlers who receive home visitation services

### The Future: a Case for Innovation

Bridges Maternal Child Health Network improves the lives of many children and families and saves the Orange County community a significant outlay of public funds through prevention and early intervention. Network partners use evidence-based programs and tools such as the Nurse Family Partnership home visitation program and Triple P<sup>®</sup> Positive Parenting Program which have documented returns of \$5.70 and \$6.06 for every dollar invested, respectively.

Despite these positive outcomes, the current funding model is not sustainable.

With decreasing Commission revenues, innovative approaches to program sustainability are necessary. The Commission is exploring ways to diversify the program's funding base, both through Medicaid/Medi-Cal reimbursement and other innovative funding mechanisms such as "Pay for Success" contracts. The Commission successfully secured grants to quantify the value of Bridges Network services and cost savings to the community. Today, the Pay for Success funding model, and potential use of social innovation bonds, is gaining traction.



### **Bridges Maternal Child Health Network**



# Topics

- Overview of the Bridges Network
- Results of program assessments and evaluation
- How the context for services has changed
- Preview of the Prenatal-to-Three renewals process



# **Bridges Maternal Child Health Network**

- Bridges Network is largest Prenatal-to-Three investment
- Early Outreach and Referral
  - <sup>-</sup> Promotion of healthy birth outcomes through prenatal outreach and
  - Distribution of the Kit for New Parents at 10 high-birth hospitals in Orange County
- Home Visiting Provides prenatal and child health and development support services through funded partners, including:
  - <sup>-</sup> MOMS Orange County, Children's Bureau, Child Abuse Prevention Center
  - <sup>-</sup> Orange County Health Care Agency Public Health Nursing



### Bridges Hospitals Provide Countywide Coverage





# Numbers of Children and Families Served (FY 2017-18)



- 23,922 pre-screens
- 9,514 bedside screenings
- 17,062 home visits



### **Recent Program Evaluation and Assessments**

**Internal Bridges Network Review** 

- Program outcomes analyses
- Program optimization studies

Bridges Network Review in a Prenatal to Three System Context

- Stakeholder convenings
- Key informant interviews



# **Evaluation Outcomes Data**

- Examined Healthcare Effectiveness Data and Information Set (HEDIS) data and emergency department use for CalOptima members
- Compared on well-child visits, postpartum visits, nutrition and physical activity counseling, immunizations, and access to primary care
- Positive effects for clients served by Bridges were statistically significant across all but one outcome
- Greatest differences observed in well-child visits and postpartum care (6% and 5% increases respectively). Also saw a 4% greater immunization rate and 3% greater access to primary care.



## Learnings from Program Assessments

- Hospital partnerships enable access to greatest number, and widest distribution, of mothers.
- Families need additional points of entry to access services.
- Maternal and infant mental health should be more intentionally integrated into services.
- Evidence-based models more likely to yield population-level outcomes.
- Planned connections across the prenatal-to-three continuum of services can promote sustained family engagement.



## Learnings from Program Assessments (Cont.)

- Aligning Bridges planning to its role in Orange County's prenatal-tothree system of care helps maximize return on investment.
- Bridges Connect data system plays vital role in coordination among partner agencies.



# Today's Context for Serving Children Prenatal to Three

Greater awareness of the importance of prenatal to three work

- Pritzker Children's Initiative
- AB 2193

Increased resources and funding to support prenatal to three work

- Pritzker Fellow
- CalWORKs Home Visiting Initiative

**Opportunities for leadership** 

- Maternal, Infant and Early Childhood Home Visiting (MIECHV) funds
- Community partnerships to address system gaps



# Today's Context (cont.)

Changing local need and structures

- Hospital populations shifting geographically
- Change in delivery of prenatal services to our target population

Transformative partnerships

- Social Services Agency Neighborhood Resource Network, CalWORKs Home Visiting Initiative
- Health Care Agency measuring common outcomes, increased funding of early childhood mental health



# **Considerations for the Renewal Process**

- Using multiple points of entry to increase uptake of PN3 family support services
- Costs and benefits associated with evidence based home visiting models
- How to identify communities of highest need (e.g., Early Development Index, Strong Start Index, healthy birth indicators)
- Best ways to facilitate parents' transition from PN3 services to early learning and other family resilience services
- How to plan for change and allow for growth in the model as new information and best practices emerge
- Allocating funds to promote system-building work
- Additional opportunities for alignment with strategic directions



### **Renewal Process and Timeline**

Activity	Schedule
Bridges Network and PN3 Initiative discussion	<ul> <li>August 7, 2019 – Presentation to First</li> <li>5 Orange County Board</li> </ul>
Stakeholder engagement (meetings with Bridges Network providers, community partners)	<ul><li>Began in February 2019</li><li>Concludes in December 2019</li></ul>
Four review panel meetings	• June, August, October, December 2019
Recommendations from review panel presented	<ul> <li>Feb 5, 2020 – First 5 Orange County meeting</li> </ul>
Contracting process begins	• Feb 6, 2020
New contracts begin	• July 1, 2020





Agenda Item 10 August 7, 2019

DATE:	July 25, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumleley Holl
ACTION:	Receive report on the System-Building Budget

#### SUMMARY:

First 5 Orange County Children and Families Commission has a longstanding practice of one-time investments to build or expand systems for early childhood development. These systems-building funds enhance service coordination and delivery to support young children, increase strategic development, and provide leveraging opportunities. This item provides a report on First 5 Orange County's system-building fund development strategy and options to allocate the funds into the community.

#### **DISCUSSION:**

#### Catalytic and Capacity Building Investments

First 5 Orange County has successfully used a strategy of making one-time investments in order to encourage innovation, to promote system enhancements or adjustments based on lessons learned, and to manage its declining revenue. Historically referred to as "catalytic" or "capacity building," these one-time investments had significant impacts on the agencies that received funds and to the systems serving young children and families.

The catalytic funding strategy was developed in 2012 following the governor's failed attempt to sweep First 5 commissions' fund balances to backfill the state budget. At that time, the Commission allocated \$55 million for projects focused on increasing capacity through facility expansion and program development, with the overarching goal of supporting organizations to create self-sustaining, long-term financial models that would not be solely dependent on future Commission monies. Examples of impactful projects that were the result of catalytic investments included programs for pediatric dental, early developmental services, year-round emergency shelters, early literacy and math, healthy child development, children's health, prevention services, nutrition and fitness, and vision.

Capacity building funding was initiated to strengthen the network of nonprofit community services providers with competitive allocations focused on building the capacity of an agency. The allocations were typically one-time, one-year allocations of up to \$250,000, and supported new program development or capital facility expansion. Examples of impactful capacity building projects include Early Childhood Mental Health, the Santa Ana Early Learning Initiative, Developmental Screening, and Family Homeless Prevention.

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#### Systems-Building Fund Development

There are currently \$3.5 million in the unallocated system-building (formerly catalytic and capacity building) budget. This is the result of accumulated revenue that has come in above what was budgeted per Commission practice approved in 2013. The current strategy for growing the systems-building budget includes the practice of making any revenue above the forecasted budget amounts available for systems-building investments (formerly known as catalytic and capacity building investments). It is also the practice of First 5 Orange County to allocate \$250,000 annually to support community- or Commission-driven systems work. Maintaining both of these existing practices is recommended.

An additional strategy is to include cost savings that may be identified through the current program renewal process. First 5 Orange County's 10-year financial plan incorporates annual funding assumptions that are based on the projected annual programmatic and initiative funding demands. Shifting reductions made through the renewal process from program operating expenses to systembuilding work is recommended.

#### Allocation of Systems-Building Funds

There are also several options for identifying projects or programs to receive system-building funds.

- Renewal Process directly allocate system-building funds to projects stemming from the early learning, healthy children or homeless prevention review panel recommendations. Ideas or projects to improve, strengthen or connect systems of care may be generated through the review panel discussion and brainstorming.
- Fiscal Leveraging Projects prioritize system-building investments that generate matching
  dollars or leverage outside funding, such as Intergovernmental Transfers (IGT) or other federal
  or state funds (for example, the Dental Transformation Initiative and IMPACT funds). These
  funds may have limitations that should be taken into consideration. For example, while IGT
  funds generate approximately 30% return on investment, there are limitations on their use for
  health interventions from a select group of providers and a risk that the dollars may not be spent
  on First 5 Orange county priorities.
- Request for Proposals initiate a Request for Proposals (RFP) process to generate innovative system building projects. Allocate seed money for the development of sustainable system improvement projects. The Santa Ana Early Learning Initiative and the Early Childhood Mental Health Collaborative and Wellness Program are two successful examples funded through this process.

As the renewal process and the implementation of the Strategic Plan progress, these options will be developed further. An update and next steps will be presented to First 5 Orange County for further consideration once the renewal panels have completed their work anticipated in February of 2020.

#### 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:**

- April 2019 Adopted resolution approving the Annual Operating Budget for Fiscal Year 2019/2020.
- July 2018 Received Harder+Company report on the evaluation of Capacity Building and Catalytic programs and authorized implementation to continue the funding strategy to maximize the impact and sustainability of Commission investments.
- November 2013 Received presentation on the Long-Term Financial Plan, Program Renewal Strategy and Sustainability Strategy and provide direction to staff.

#### **RECOMMENDED ACTION:**

Receive report on the process for fund development and allocation strategies for the First 5 Orange County system-building budget.

#### **ATTACHMENTS:**

None

**Contact**: Lisa Burke



Agenda Item 11 August 7, 2019

DATE:	July 10, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Kimberly Hort
ACTION:	Receive the 2019-2020 Strategic Plan Implementations and Dashboard

#### SUMMARY:

The First 5 Children and Families Commission of Orange County approved the 2019-2024 Strategic Plan in April 2019. An Implementation Plan for fiscal year 2019/2020 was developed to guide the work toward achieving the goals as stated in the five-year Strategic Plan. This item includes a summary of the Strategic Plan implementations in a dashboard format that will be updated quarterly to allow a visual progress report on the one-year plan.

#### **DISCUSSION:**

The First 5 Orange County 2019-2024 Strategic Plan was adopted on April 3, 2019. The Strategic Plan recognizes First 5 Orange County's role over the past 20 years to build and support an early childhood infrastructure and is the culmination of extensive planning and public engagement work. The Strategic Plan also acknowledges the current shift in priorities from creating new services to integrating and coordinating with agencies that support young children and families in the climate of declining revenue.

The three Strategic Plan goals reflect First 5 Orange County's long-term vision and align with traditional domains of the early childhood system – resilient families, quality early learning, and comprehensive health and development. The headline objectives in the Strategic Plan measure progress toward these goals (for example, an increase in the rate of mothers receiving mental health services when needed, or more children ready for kindergarten). New to the Strategic Plan are additional strategies which focus on systemic change to improve the functioning and efficiency of service delivery, and to increase resource allocation to the early childhood system.

Specific actions and timelines to advance the Strategic Plan's headline objectives and strategic directions have been developed as the 2019-2020 Implementation Plan. Staff will provide quarterly reports summarizing progress made on the Implementation Plan, including brief narrative highlights as well as a visual dashboard, as requested by the First 5 Chair. The dashboard (Attachment 1), which provides an at-a-glance view, tracks activities underway as either "in progress," or "complete," and as the year progresses, the icons will transition from "in progress" to "complete."

#### 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.

1505 East 17th Street Suite 230 Santa Ana CA 92705 telephone 714 834 5310 Commissioners Maria E. Minon, M.D., Chair Debra Baetz Sandra Barry Ramin Baschshi, M.D. Doug Chaffee

Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez

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

• April 2019 – Conducted public hearing to adopt resolutions to receive the Strategic Plan, and proposed budget.

#### **RECOMMENDED ACTION:**

Receive the 2019/2020 Strategic Plan Implementations and dashboard.

#### **ATTACHMENT:**

1. 2019/2020 Implementation Plan Dashboard

**Contact**: Lisa Burke



Strategic Plan

Implementation Plan Dashboard

# The Implementation Plan Dashboard tracks progress made toward activities to be accomplished in fiscal year 2019/20 to support the priorities of First 5 Orange County's 2019-2024 Strategic Plan.

Strategic Plan Goals O Not Yet Started In Progress O Complete

#### **Resilient Families**

Update the Bridges Maternal Child Health Network model to align with the Strategic Plan and link more seamlessly with perinatal mental health, child abuse prevention programs, and early learning services and settings

Improve access to prevention services and treatment for perinatal mood and anxiety disorders

Create backbone agency support for family homeless prevention

#### **Quality Early Learning**

Modify Early Learning Specialist and School Readiness Nurse scopes of work to align with Strategic Plan

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Increase the number of Family Childcare, private childcare sites and alternative sites that participate in Quality Start OC

Complete a childcare landscape scan for children ages 0 - 3

#### Comprehensive Health and Development

Improve access to oral health care for underserved children through continued implementation of the Dental Transformation Initiative Local Dental Pilot Program

Conduct educational forums to increase effectiveness of early childhood obesity prevention activities among health care providers

Increase the routine use of validated screening tools by pediatric providers and improve linkage with early intervention services

#### Across All Goal Areas

Integrate early childhood and promote upstream prevention in countywide planning efforts and collaborations

### **Strategic Directions**

#### **Committed Leadership**

Build relationships with countywide leaders (current and future) to increase representation of early childhood advocates in countywide leadership positions

Create communications materials (by First 5 Orange County and with partners) to broadcast consistent messages to leaders, as well as targeted messages that are relevant to a sector's priorities

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Plan and implement Census 2020 outreach for 0 – 5 population

#### **Engaged Neighborhoods**

Develop a community identification process that considers data, assets, and readiness, and identify communities based on that process

Develop capacity to conduct community outreach and elevate community leaders

#### **Connected Systems**

Identify system stakeholders and conduct outreach to engage in system assessment and quality improvement work, to be piloted with P-3 group

Conduct system coordination assessment

Convene system stakeholders to formulate a shared agenda for system improvements based on assessment results

#### Aligned Investment

Create funding approach that aligns investments with data, evaluation results, and strategic priorities

Revise performance measurement system to align with strategic plan and implement

Develop process for investment in system building work

#### Sustained Funding

Develop 0-3 child care funding leveraging plan to identify dollars, assess availability, and work to obtain it

Develop strategies to increase use of entitled benefits in existing programs

Develop a state home visiting funding leveraging plan to identify dollars, assess availability, and work to obtain it



Agenda Item 12 August 7, 2019

DATE:	July 24, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Kimberly Hou
ACTION:	Receive update on the First 5 Orange County Organization Design Project

#### SUMMARY:

First 5 Orange County Children and Families Commission engaged ERS Consulting, LLC to update the organizational chart as a follow-up to the adoption of the 2019-2024 Strategic Plan. This report provides a summary of progress and implementation actions to date and upcoming planned activities.

#### **DISCUSSION:**

In May 2019, First 5 Orange County contracted with ERS Consulting to develop an organizational chart that reflects the delivery model set forth in the new Strategic Plan and to clearly define the staff roles and reporting structure. It is also intended to identify relevant net new positions that will support the achievement of the strategic directions articulated in the Strategic Plan.

#### **Progress Summary and Implementation Actions**

Since being engaged, ERS Consulting has completed the following:

- Interviewed all First 5 Orange County staff members to assess individual portfolios and strengths as well as organization culture
- Interviewed key long-term consultants to ascertain the consultant point of view on assignment, accountability, and organization communication
- Reviewed internal documentation including job descriptions, Strategic Plan Implementation Plan, policies and procedures, and additional relevant material
- Facilitated several follow-up discussions with the Executive Director and management staff to extract a clear understanding of present functional assignments, skills and capabilities, and organization climate
- Analyzed function responsibilities and requirements for Administration team against level of effort, existing skills, and efficiency standards

Throughout all discussions the team has endeavored to accurately prioritize against critical objectives and adhere to the values identified in the Strategic Plan. As a result of this effort, unifying the budget, finance, contracts, and administrative support functions into one cohesive administrative team is recommended. This alteration will yield greater efficiencies, reduce redundancies, and provide for built-in cross-training to mitigate risk in the event of any individual team member's hiatus or departure. The reorganization includes:

- Finance Manager Retitle to Director of Finance and Administration to oversee all aspects of administration, including financial reporting; budget; contracts development, execution, and management; federal and state grants and contracts compliance; human resources; and technology.
- Contracts Manager Retitle to Senior Manager, Contracts and Administration reporting to the Director of Finance and Administration.
- Senior Contracts Analyst Transition primary responsibilities to financial reporting with expertise in contract administration ensuring contract compliance with federal and state requirements including regular reporting.

#### **Upcoming Planned Activities**

Over the course of the next several months, ERS Consulting will meet with First 5 Orange County's Directors of the Health Policy and Early Learning to collaboratively identify a program structure that similarly prioritizes and delineates responsibility and accountability. The outcome of these strategic discussions, as well as a refined, complete organization chart, will be presented for consideration at the October 2019 First 5 Orange County Commission meeting.

#### STRATEGIC PLAN AND FISCAL SUMMARY:

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

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

• April 2019 - Adopted resolution confirming First 5 Orange County Children and Families Commission's adoption of the Strategic Plan.

#### **RECOMMENDED ACTION:**

Receive update on the First 5 Orange County Organization Design Project.

#### ATTACHMENT:

1. Administration Organization Chart

Contact: Kim Goll







Agenda Item 13 August 7, 2019

DATE:	July 26, 2019
TO:	First 5 Orange County Children and Families Commission
FROM:	Kimberly Goll, Executive Director Jumbelly Holl
ACTION:	Receive Executive Officer's Report

#### 1. Financial Report and Quarterly Investment report (January – March 2019)

Tobacco tax revenues are monitored throughout the year and compared to annual budget estimates. Revenue through April has been posted by First 5 California in the amount of \$20 million. At this time, tobacco tax revenue is tracking very closely to budget estimates. Final financial results for Fiscal Year 2018-2019 will be presented in the Commission's Comprehensive Annual Financial Report scheduled for the October meeting. The May financial highlights summary report is included as Attachment 1.

Pursuant to the First 5 Orange County Children and Families Commission's Fiscal Year 2018-2019 Investment Policy Statement, the Orange County Treasurer submits Quarterly Investment Reports to the Commission. This Investment Report summarizes investment activities for the three-month period from January 1 through March 31, 2019. 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 percent of the Commission's funds in the Orange County Investment Pool (OCIP). As of March 31, 2019, these totaled \$38,184,128. All funds are managed by the Office of the Orange County Treasurer. A summary of key OCIP investment information is in Attachment 2.

#### 2. Strategic Communications Fourth Quarter Report

Curt Pringle & Associates (CP&A) provides strategic communications services in the areas of legislative advocacy, community partnerships and public awareness. The Legislative and Strategic Communications Fourth Quarter Report (Attachment 3) for April through June 2019 summarizes their current activities. This quarterly report includes an update on the state budget that passed in July and prioritizes funding to support families with young children. The budget also included funding for home visiting, developmental screening, and quality early learning programs. Federal and state legislation that impact First 5 work is being tracked by CP&A and an update is included in the report. The report also includes updates on the First 5 Advocacy Day in Sacramento in April, follow-up from a meeting with the business community in March, and the results of the Essentials Diaper Drive that collected over a million diapers for shelters that house pregnant women and mothers with babies.

#### 3. Learners Today, Learners Tomorrow Early Development Index Summit

Registration is open for the 2019 *Learners Today, Leaders Tomorrow* Summit, a one-day event presented by First 5 Orange County and First 5 LA to highlight the importance of the Early Development Index (EDI) school readiness data. The Summit, scheduled for Thursday, September 18 at the Long Beach Marriot will focus on strategies and opportunities to utilize EDI data for community planning and engagement in Orange and Los Angeles counties. The event will be followed by a post-summit reception hosted by the California Council for a Strong

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Jackie Filbeck Kenneth McFarland Sandra Pierce Richard Sanchez America, also known as ReadyNation. To increase exposure of this important Summit, First 5 Orange County Commission members have been asked to promote the event within their respective networks and associations.

#### 4. OC Reads Early Literacy Collaboration

The OC Reads collaboration between First 5 Orange County, Orange County Community Foundation and the Orange County United Way is a shared funding model to support evidencebased early literacy programs and interventions in Orange County. Currently three programs receive funding from the shared pool. Funding is used to develop and support new or expanded strategies for children in communities that are most at risk of not achieving grade level reading as identified by the Early Development Index (EDI) and the California Smarter Balanced, Early Language Arts test scores. This year, the funded programs are focusing on using the EDI data to inform decisions, supporting children identified at-risk of not reading at grade level by third grade, and aligning with other community campaigns. Orange County United Way has served as the fiscal lead for the collaboration for the last three years. First 5 Orange County will become the fiscal lead starting October 1, 2019. An update on the OC Reads early literacy collaboration will be provided at the October 2019 meeting.

#### ATTACHMENTS

- 1. Financial Highlights as of May 31, 2019
- 2. Quarterly Investment Report January 1, 2019 through March 31, 2019
- 3. Curt Pringle & Associates Legislative and Strategic Communications Quarterly Report



### Financial Highlights As of May 31, 2019

Comparison of Budget vs. Actual Fiscal Year 2018-19 Unaudited Period Ending 5/31/19

	FY 2018-19 Amended Budget	FY 2018-1 Actuals	9								
Financing Sources											
Tobacco Tax Revenue Interest Earnings Other Revenue	\$23,146,372 150,000 <u>5,208,502</u>	\$16,812,675 654,847 <u>1,187,742</u>									
<b>Revenue</b> Total	\$28,504,874	\$18,655,265									
Expenses											
Healthy Children Strong Families Early Learning Capacity Building**	\$13,009,704 2,142,314 6,108,949 <u>1,456,838</u>	\$8,465,370 1,726,040 3,516,601 <u>875,353</u>	57.6%								
Program Services	\$22,717,805	\$14,583,364									
Admin. Functions***	<u>2,000,265</u>	<u>1,277,266</u>	63.9%								
Total Operating Exp.	\$24,718,070	\$15,860,630									

\*\*Includes Evaluation costs of \$536,341

\*\*\*Administrative costs and functions are defined by State Commission guidelines (Fiscal Memo No. 05-01, dated April 14,2006) pursuant to Chapter 284, Statutes of 2005 (AB 109). Actual Administrative expenses of \$1,277,266 and encumbrances of \$301,791 were 6.4% of the Fiscal Year 2018/2019 Amended Budget of \$24.7 million not including Catalytic projects. Final administrative expenses are projected to be 7.5% at year-end.

### Total Encumbrances as of May 31, 2019 including some multi-year contracts

Healthy Children	\$19,553,607
Strong Families	\$1,815,325
Early Learning	\$10,885,728
Capacity Building	\$970,029
Admin. Functions	\$301,791

#### Revenue and Cash Balance Update

The Commission's total Tobacco Tax Revenue through April 2019 as reported by First 5 California is \$20.02 million. Prop 10 revenues for July through April are 14% above revenues for the same period in the prior year due to the receipt of Proposition 56 backfill. Revenue has been received through February.

Interest earnings for July 2018 through May 2019 are \$654,847.

#### Catalytic Funding Update

\$35,316,114 in Catalytic Funding was expensed from FY 2012-13 through FY 2017-18. Expenses booked in the current year total \$2,702,638 as of May 31, 2019.

As of May 31, 2019, \$7,122,487 was encumbered for Round 1 and Round 2 programs. Nearly \$5.6 million is encumbered for Children's Dental and \$1 million for Developmental Services.



#### Forecasted Fiscal Year 2018-19 Ending Fund Balance

From Commission Long Term Financial Plan

Beginning Fund Balance, July 1, 2018	\$37,141,057
Forecasted Revenue	28,504,874
Budgeted Program Expenses	(22,717,805)
Budgeted Administrative Expenses	(2,000,265)
Catalytic Projects	(23,781,146)

#### Projected June 30, 2019 Fund Balance \$17,146,715\*

\*Based on Commission action through December 2018. Projected fund balance does not include Catalytic funding. For financial planning purposes, Catalytic funding has been designated by Commission action and removed from available fund balance.

#### First 5 Orange County, Children & Families Commission Quarterly Investment Report and Annual Update January 1, 2019 through March 31, 2019

#### **OVERVIEW**

Pursuant to the First 5 Orange County, Children & Families Commission (Commission) fiscal year 2018/2019 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 January 1 through March 31, 2019.

#### **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 March 31, 2019, these totaled \$38,184,127.69. 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 January, February and March 2019. The net year-to-date yield for fiscal year 2018/2019 is 1.92%, net of the estimated investment administrative fee of 5.9 basis points. The budgeted forecasted net yield for the fiscal year 2018/2019 is 2.15%. We expect to provide our updated estimate next quarter based on the December increase of 0.25 percent of the benchmark Federal Funds rate.

Month Ended	Commission's Month End Balance	Commission's Monthly Gross Yield	OCIP Market Value	OCIP Book Value	Weighted Average Maturity	OCIP Net Asset Value	Modified Duration
January	\$40,898,681.77	2.10%	\$4,313,538,679	\$4,318,262,708	329 days	1.00	0.88
February	\$41,565,393.10	2.28%	\$4,560,171,943	\$4,562,239,273	311 days	1.00	0.85
March	\$38,184,127.69	2.17%	\$4,625,822,303	\$4,622,198,029	283 days	1.00	0.76

#### ECONOMIC UPDATE

The job market added 312,000 (revised) new jobs in January, 33,000 (revised) jobs in February, and 196,000 jobs in March. The unemployment rate rose to 4.0% in January from 3.9% in the prior month, fell to 3.8% in February, and remained unchanged at 3.8% in March. U.S. Gross Domestic Product annualized revised rate in the fourth quarter of 2018 was 2.2%, a decrease from the third quarter revised rate of 3.4%. S&P/CaseShiller reported that housing prices continued to remain positive on a year-over-year basis up 5.02% (revised) in November, up 4.60% (revised) in December and for the eighty-first consecutive month up 4.26% in January, but has risen by an increasingly smaller amount for the past 11 months. The index for pending home sales on a year-over-year basis decreased 9.5%, 3.3% (revised) and 5.0% in December, January and February, respectively.

U.S. Treasury Yield Curve: Yields on the Treasury 3-month, 2-year, 5-year, 10-year, and 30-year decreased during the Quarter Ended March 31, 2019.

	Quarter Ended	Quarter Ended
	December 31, 2018	March 31, 2019
3 - Month	2.45%	2.40%
2 - Year	2.48%	2.27%
5 - Year	2.51%	2.23%
10 - Year	2.69%	2.41%
30 - Year	3.02%	2.81%

#### **COMPLIANCE MONITORING**

As of March 31, 2019, 100% of the holdings of the Commission are in compliance with the Commission's IPS. The investment portfolios had no compliance exceptions for the quarter ended March 31, 2019.

The County Treasurer's investments are audited regularly by the County Auditor-Controller Internal Audit Division (ACIAD) and the Orange County Internal Audit Department. The ACIAD issued four reports during the quarter ended March 31, 2019 as follows:

 First Follow-Up Audit: Management Letter on Audit of Schedule of Assets Held by the County Treasury (Schedule) as of June 30, 2016

The ACIAD report dated December 11, 2018 stated that Treasurer-Tax Collector (T-TC) implemented on recommendation from the management letter; the two remaining recommendations are in process. T-TC is in the process of creating a procedure for documenting significant corrections or adjustments in Quantum. In addition, T-TC is in the process of creating procedures for its change management process.

- <u>Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended September 30, 2018</u> The ACIAD report dated January 22, 2019 stated that based on the procedures performed, no instances of noncompliance were identified.
- <u>Second Follow-Up Audit: Management Letter on Review of Schedule of Assets Held by the County Treasury as of September 30, 2016</u>
   The ACIAD report dated February 19, 2019 stated that one control deficiency existed. The Treasurer-Tax Collector is still in

The ACIAD report dated February 19, 2019 stated that one control denciency existed. The Treasurer-Tax Conector is still in process of upgrading its investment accounting system (Quantum) and plans to add applicable accounts to Quantum after the upgrade is complete.

<u>Review of Schedule of Assets Held by the County Treasury as of September 30, 2018</u>
 The ACIAD report dated March 5, 2019 stated that they were not aware of any material modifications that should be made to the Schedule prepared on a modified cash-basis of accounting except for the omission of all disclosures. The County Treasurer's current practice is to prepare all required disclosures only in the Schedule for each fiscal year-end and not for the quarterly reviews.

We have attached the Investment Policy and Treasury Oversight Committee Compliance Summary as reported in the Treasurer's Monthly Report for the months of January, February, and March 2019 (Attachment B). This summary tracks compliance in a variety of areas.

#### PORTFOLIO HOLDINGS OF DEBT ISSUED BY POOL PARTICIPANTS

Under guidelines outlined in the County's current IPS, the County Treasurer may invest in A or above rated securities issued by municipalities. Municipal debt issued by the County of Orange is exempt from this credit rating requirement. OCIP may invest no more than 5% of pool assets in any one issuer, with the exception of the County of Orange which has a 10% limit. As of March 31, 2019, OCIP has a total market value of \$236 million in County of Orange debt, which represents approximately 5.1% of total OCIP assets. On January 14, 2019, the Investment Pools purchased, at par value, \$402 million of unrated County of Orange Taxable Pension Obligation Bonds Series 2019 A debt in a private placement with coupon interest rates ranging from 2.816% to 2.899%. Prior to purchasing any pool participant debt, a standardized credit analysis is performed.

#### STATEMENT OF ACTIVITY

We have attached the Statement of Activity for the months of January, February, and March 2019 (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 January, February, and March 2019
- C. Statement of Activity for the months of January, February, and March 2019

#### **ATTACHMENT A**

#### ORANGE COUNTY TREASURER-TAX COLLECTOR ORANGE COUNTY INVESTMENT POOL INVESTMENT POOL SUMMARY AT MARCH 31, 2019

										Orange County Inve	stmen	nt Pool	
		0.00	DODT						AA Tot	4%6%			
OCIP PORTFOLIO COMPOSITION % of Unrealized Gain													
Security Type	Market \	Value Mark	et Valu	Je Book \	/alue	(Loss)							
U.S. GOVERNMENT AGENCIES U.S. TREASURIES MONEY MARKET MUTUAL FUNDS MEDIUM-TERM NOTES MUNICIPAL DEBT LOCAL AGENCY INVESTMENT FUND CERTIFICATES OF DEPOSIT	1,402, 165,9 193, 235,9	797,767 145,302 975,022 253,168 960,357 690,687	30 3 4 5 0	0.31%     1,401       3.59%     165       4.18%     193       5.09%     235	7,086,9 1,284,3 5,975,0 3,387,2 5,773,7 3,690,6	44 860 22 06 (134 78 186	0,775 0,958 - 4,038) 6,579 -					US Gov Total 86%	
TOTAL	\$ 4.625.	822,303			- 2,198,0	29 Ś 3.624	4,274						
								AA Incl A Inclue NR Inclu	udes A des A+,	les Agency & Treasury De A+, AA- & AA A- & A IF and Orange County Per		Obligation Bonds	
			ORAN					2					
				SUMMARY O	FINV	ESTMENT DAT	Α						
				INVES	TMEN	T TRENDS							
	N	MARCH 2019	FEE	INVES		T TRENDS	NE CHAN %	IGE		MARCH 2018		INCREASE DECREASE)	NET CHANGE %
Orange County Investment Pool (C		MARCH 2019	FEE			NCREASE	CHAI	IGE	1	MARCH 2018			
<u>Orange County Investment Pool (C</u> End Of Month Market Value <sup>1</sup>		<b>MARCH 2019</b> 4,625,822,303				NCREASE	CHAI	IGE	\$	4,710,391,312			%
	OCIP)		\$	BRUARY 2019	ו (כ	NCREASE DECREASE)	CHAN %	NGE			(	DECREASE)	-1.809
End Of Month Market Value <sup>1</sup>	OCIP) \$	4,625,822,303	\$	BRUARY 2019 4,560,171,943	ן (כ	NCREASE ECREASE) 65,650,360	CHAI %	NGE 1.44%	\$	4,710,391,312	(	(84,569,009)	% -1.809 -2.309
End Of Month Market Value <sup>1</sup> End Of Month Book Value <sup>1</sup>	OCIP) s s	4,625,822,303 4,622,198,029	\$ \$ \$	<b>BRUARY 2019</b> 4,560,171,943 4,562,239,273	۱ (۵ \$	65,650,360 59,958,756	CHAI %	NGE 1.44% 1.31%	\$ \$	4,710,391,312 4,731,135,231	( \$ \$	(84,569,009) (108,937,202)	% -1.809 -2.309 -1.739
End Of Month Market Value <sup>1</sup> End Of Month Book Value <sup>1</sup> Monthly Average Balance	OCIP) \$ \$ \$	4,625,822,303 4,622,198,029 4,488,298,221	\$ \$ \$	4,560,171,943 4,562,239,273 4,378,117,915	ן (ב \$ \$ \$	NCREASE ECREASE) 65,650,360 59,958,756 110,180,306	CHAI %	1.44% 1.31% 2.52%	\$ \$ \$	4,710,391,312 4,731,135,231 4,567,508,436	( \$ \$ \$	(84,569,009) (108,937,202) (79,210,215)	% -1.809 -2.309 -1.739 -1.119
End Of Month Market Value <sup>1</sup> End Of Month Book Value <sup>1</sup> Monthly Average Balance Year-To-Date Average Balance	OCIP) \$ \$ \$ \$	4,625,822,303 4,622,198,029 4,488,298,221 4,312,547,189	\$ \$ \$	<b>BRUARY 2019</b> 4,560,171,943 4,562,239,273 4,378,117,915 4,290,578,310	۲ (۲ ۲ ۲ ۲	ACREASE BECREASE) 65,650,360 59,958,756 110,180,306 21,968,879	CHAI %	1.44% 1.31% 2.52% 0.51%	\$ \$ \$ \$	4,710,391,312 4,731,135,231 4,567,508,436 4,360,844,485	( \$ \$ \$	(84,569,009) (108,937,202) (79,210,215) (48,297,296)	
End Of Month Market Value <sup>1</sup> End Of Month Book Value <sup>1</sup> Monthly Average Balance Year-To-Date Average Balance Monthly Accrued Earnings <sup>2</sup>	OCIP) \$ \$ \$ \$	4,625,822,303 4,622,198,029 4,488,298,221 4,312,547,189 8,292,593	\$ \$ \$	4,560,171,943 4,562,239,273 4,378,117,915 4,290,578,310 7,648,944	۲ (۲ ۲ ۲ ۲	CREASE 65,650,360 59,958,756 110,180,306 21,968,879 643,649	CHAT %	1.44% 1.31% 2.52% 0.51% 8.41%	\$ \$ \$ \$	4,710,391,312 4,731,135,231 4,567,508,436 4,360,844,485 5,430,359	( \$ \$ \$	(84,569,009) (108,937,202) (79,210,215) (48,297,296) 2,862,234	% -1.809 -2.309 -1.739 -1.119 52.719
End Of Month Market Value <sup>1</sup> End Of Month Book Value <sup>1</sup> Monthly Average Balance Year-To-Date Average Balance Monthly Accrued Earnings <sup>2</sup> Monthly Net Yield <sup>2</sup>	OCIP) \$ \$ \$ \$	4,625,822,303 4,622,198,029 4,488,298,221 4,312,547,189 8,292,593 2.11%	\$ \$ \$	BRUARY 2019 4,560,171,943 4,562,239,273 4,378,117,915 4,290,578,310 7,648,944 2.22%	۲ (۲ ۲ ۲ ۲	CREASE ECREASE) 65,650,360 59,958,756 110,180,306 21,968,879 643,649 -0.11%	CHAT %	1.44% 1.31% 2.52% 0.51% 8.41% -5.00%	\$ \$ \$ \$	4,710,391,312 4,731,135,231 4,567,508,436 4,360,844,485 5,430,359 1.34%	( \$ \$ \$	(84,569,009) (108,937,202) (79,210,215) (48,297,296) 2,862,234 0.77%	% -1.809 -2.309 -1.739 -1.119 52.719 57.469

1 Market values provided by Bloomberg and Northern Trust.

2 In March 2019, The OCIP and OCEIP Monthly Accrued Earnings, Monthly Net Yields and Year-To-Date Net Yields were higher than the prior year primarily due to the eight Federal Reserve short-term rate increases totaling 2.00% since November 2016.

3 The OCIP and OCEIP annual estimated gross yields for March 2019 are reported at the actual annual gross yields for FY 17/18, and their annual estimated gross yields for March 2019 are reported at the latest forecasted gross yield of 2.15%. The OCIP and OCEIP annual estimated gross yields for FY 18/19 are higher than FY 17/18 yields of 1.28% and 1.30% respectively, primarily due to the eight Federal Reserve short-term rate increases totaling 2.00% since November 2016.

#### ORANGE COUNTY TREASURER-TAX COLLECTOR INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY March 31, 2019

ATTACHMENT B

COMPLIANCE CATEGORY	RESPONSIBLE PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Calendar year 2016 and six months ended 6/30/17 in progress. Anticipate issuance April, 2019
Quarterly Statement of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	September 30, 2018 completed - see Oct 18 report; December 31, 2018 in progress.
Annual Statement of Assets Audit	AC	Performance Evaluation-Cal Govt. Code 26920(b)	Annual audit as of June 30, 2018 in progress.
Quarterly Compliance Monitoring	TOC	TOC Directive	December 31, 2018 in progress.
Investment Administrative Fee	TTC	Compensation Agreement-Cal Govt. Code 27013	FY 16/17 and FY 17/18 in progress.
Annual Broker/Dealer Review	TTC	Authorized Financial Dealers and Qualified Institutions	Calendar year 2017 completed. Calendar year 2018 in progress.
Annual Broker/Dealer IPS Certification	TTC	Authorized Financial Dealers and Qualified Institutions	All 2018 IPS certifications received for active approved brokers.
IPS Compliance Deficiencies	ттс	Investment/Diversification/Maturity Restrictions/Form 700	FY 18/19 identified three compliance incidents as of March 31, 2019.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the November 19, 2018 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the November 19, 2018 meeting and did not make any additional changes. The BOS approved on December 18, 2018.
TOC Annual Report	BOS	TOC Bylaws Rule 30 - Oral and Written Report	The TOC 2018 Annual Report was approved at the BOS meeting March 12, 2019.
Broker/Financial Institution List	πс	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 January 30, 2019.
Certificates of Compliance	TTC	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2019
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2018.
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 2018. One compliance exception in 2018 as a TOC Designee did not submit a Leaving Office Statement within 30 days.

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

#### ORANGE COUNTY TREASURER-TAX COLLECTOR INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY February 28, 2019

ATTACHMENT B

	RESPONSIBLE	and the second	1 March 1997
- COMPLIANCE CATEGORY	PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Calendar year 2016 and six months ended 6/30/17 in progress.
Quarterly Statement of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	September 30, 2018 and December 31, 2018 in progress.
Annual Statement of Assets Audit	AC	Performance Evaluation-Cal Govt. Code 26920(b)	Annual audit as of June 30, 2018 in progress.
Quarterly Compliance Monitoring	TOC	TOC Directive	December 31, 2018 in progress.
Investment Administrative Fee	TTC	Compensation Agreement-Cal Govt. Code 27013	FY 16/17 and FY 17/18 in progress.
Annual Broker/Dealer Review	TTC	Authorized Financial Dealers and Qualified Institutions	
Annual Broker/Dealer IPS Certification	ПС	Authorized Financial Dealers and Qualified Institutions	Calendar year 2017 completed. Calendar year 2018 in progress.
IPS Compliance Deficiencies	ттс	Investment/Diversification/Maturity Restrictions/Form 700	All 2018 IPS certifications received for active approved brokers.
		intestitienty Diversification/ watchildy Resulctions/ Form 700	FY 18/19 identified three compliance incidents as of February 28, 2019.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the November 19, 2018 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the November 19, 2018 meeting and did not make any
TOC Annual Report	2.04		additional changes. The BOS approved on December 18, 2018.
TOC Annual Report	BOS	TOC Bylaws Rule 30 - Oral and Written Report	The TOC 2017 Annual Report was presented to BOS meeting on February 27, 2018.
Broker/Financial Institution List	ттс	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 January 30, 2019.
Certificates of Compliance	пс	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2019
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2018.
Conflict of Interest Form 700 Filing	ттс	TOC Bylaws Rule 34 / IPS - Every Year	All TOC members and designated employees are in compliance for calendar year 2018 except for one TOC designee whom did not file a Form 700 Leaving Form as required.

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

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#### ORANGE COUNTY TREASURER-TAX COLLECTOR INVESTMENT POLICY (IPS) AND TREASURY OVERSIGHT COMMITTEE (TOC) COMPLIANCE SUMMARY January 31, 2019

ATTACHMENT B

COMPLIANCE CATEGORY	RESPONSIBLE PARTY	REGULATORY/POLICY GUIDELINES	CURRENT STATUS
Annual Compliance Audit	TOC	Performance Evaluation-Cal Govt. Code 27134	Calendar year 2016 and six months ended 6/30/17 in progress.
Quarterly Statement of Assets Review	AC	Performance Evaluation-Cal Govt. Code 26920(a)	September 30, 2018 in progress.
Annual Statement of Assets Audit		Performance Evaluation-Cal Govt. Code 26920(b)	Annual audit as of June 30, 2017 completed.
Quarterly Compliance Monitoring		TOC Directive	September 30, 2018 in progress.
Investment Administrative Fee	ттс	Compensation Agreement-Cal Govt. Code 27013	FY 16/17 and FY 17/18 in progress.
Annual Broker/Dealer Review	πс	Authorized Financial Dealers and Qualified Institutions	Calendar year 2017 in progress.
Annual Broker/Dealer IPS Certification	TTC	Authorized Financial Dealers and Qualified Institutions	All 2018 IPS certifications received for active approved brokers.
IPS Compliance Deficiencies	πс	Investment/Diversification/Maturity Restrictions/Form 700	FY 18/19 identified two compliance incidents as of December 31, 2018.
TOC Bylaw Changes	BOS	TOC Review and BOS Annual Approval	The TOC reviewed Bylaws and made no changes at the November 19, 2018 meeting. No BOS approval required.
Annual IPS Approval	BOS	TOC Review and BOS Annual Approval	The TOC reviewed proposed IPS changes at the November 19, 2018 meeting and did not make any additional changes. The BOS approved on December 18, 2018.
TOC Annual Report	BOS	TOC Bylaws Rule 30 - Oral and Written Report	The TOC 2017 Annual Report was presented to BOS meeting on February 27, 2018.
Broker/Financial Institution List	πс	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 18, 2017.
Certificates of Compliance	ттс	TOC Bylaws Rule 34 - Annual	The TOC members are in compliance for calendar year 2019
Ethics Training	TTC	TOC Bylaws Rule 34 - Every Two Years	The TOC members are in compliance for calendar year 2015
Conflict of Interest Form 700 Filing		TOC Bylaws Rule 34 / IPS - Every Year	All TOC members and designated employees are in compliance for calendar year 2017.

LEGEND	Marylet Dou/Texture Do
Auditor-Controller	AC
Board of Supervisors	BOS
Treasury Oversight Committee	TOC
Office of Treasurer-Tax Collector	TTC



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



#### **ATTACHMENT C**

ocqov.com/ocinvestments March 31, 2019

#### **ORANGE COUNTY CHILDREN AND FAMILIES COMMISSION**

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

Monthly Apportionment Gross Yield: 2.170% Administration Fee: -0.059% Monthly Apportionment Net Yield: 2.111%

Fund Number : 225

#### **MARCH 2019 STATEMENT**

#### **INVESTMENT BALANCE IN OCIP**

#### **Transactions**

<u>Transaction</u> Date	Transac	ction Description			Amount
03/01/19 03/19/19		Investment Admin Fee 8 Interest Paid		\$ \$	(1,874.70) 67,882.63
Summary					
Total Deposit:	\$	74,886.98	Beginning Balance:	\$	41,565,393.10
Total Withdrawal:	\$	(3,456,152.39)	Ending Balance:	\$	38,184,127.69
ACCRUED INVESTME	NT INCOME				
Description					Amount

Description	Amount		
January 2019 Interest Accrued	\$ 74,936.71		
February 2019 Interest Accrued	\$ 72,439.96		
March 31, 2019 Total	\$ 147,376.67		
March 2019 Interest will be posted in April	\$ 75,492.69		



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



#### **ATTACHMENT C**

ocgov.com/ocinvestments February 28, 2019

#### ORANGE COUNTY CHILDREN AND FAMILIES COMMISSION

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

Monthly Apportionment Gross Yield: 2.280% Administration Fee: \_-0.059% Monthly Apportionment Net Yield: 2.221%

Fund Number : 225

#### **FEBRUARY 2019 STATEMENT**

#### **INVESTMENT BALANCE IN OCIP**

#### Transactions

Transaction Date	Transaction	n Description			Amount
02/01/19 02/22/19	January 2019 Inve November 2018 In	estment Admin Fee hterest Paid		\$ \$	(2,101.80) 65,201.07
Summary					
Total Deposit:	\$	3,976,430.08	Beginning Balance:	\$	40,898,681.77
Total Withdrawal:	\$	(3,309,718.75)	Ending Balance:	\$	41,565,393.10
ACCRUED INVESTME	NT INCOME				
Description					Amount

Description	<u>Anount</u>
December 2018 Interest Accrued	\$ 67,882.63
January 2019 Interest Accrued	\$ 74,936.71
February 28, 2019 Total	\$ 142,819.34
February 2019 Interest will be posted in March	\$ 72,439.96



#### 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



#### **ATTACHMENT C**

ocgov.com/ocinvestments January 31, 2019

#### **ORANGE COUNTY CHILDREN AND FAMILIES COMMISSION**

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

 Monthly Apportionment Gross Yield:
 2.104%

 Administration Fee:
 -0.059%

 Monthly Apportionment Net Yield:
 2.045%

Fund Number : 225

#### **JANUARY 2019 STATEMENT**

#### **INVESTMENT BALANCE IN OCIP**

#### **Transactions**

<u>Transaction</u> Date		Transaction Description		<u>Amount</u>
11/01/19	De	cember 2018 Investi	ment Admin Fee	\$ (2,005.04)
11/09/19	Oc	tober 2018 Interest F	Paid	\$ 57,435.50
<u>Summary</u>				
Total Deposit:	\$	2,541,592.95	Beginning Balance:	\$ 40,295,245.57
Total Withdrawal:	\$	(1,938,156.75)	Ending Balance:	\$ 40,898,681.77
ACCRUED INVESTME	NTI	NCOME		
Description				Amount
November 2018 In				\$ 65,201.07
December 2018 In			al S	\$ 67,882.63
	J	anuary 31, 2019 Tota	al	\$ 133,083.70

January 2019 Interest will be posted in February \$ 74,936.71



То:	Kelly Pijl, Communications and Policy Director First 5 Orange County
From:	Clare Venegas, Vice President Curt Pringle & Associates
Date:	July 22, 2019
Subject:	Legislative and Strategic Communications Quarterly Report

The following is a summary of activities that were provided by Curt Pringle & Associates (CP&A) to First 5 Orange County during the fourth quarter of FY2019, or April-July 2019.

#### State Budget Update

In early July, Governor Newsom signed a \$215 billion state budget into law. As the Governor had announced with his initial budget proposal in January, the well-being of young children and low-income families is a centerpiece of this overall agenda. The final budget places a high priority on supporting families with young children, including a doubling of the Earned Income Tax Credit (EITC) from \$500 to \$1,000 for low-income families with children under the age of 6, and expanding paid family leave from six to eight weeks starting in July 2020.

Other specific budget allocations are made in the following areas of interest to First 5 OC:

- **Home visiting:** The addition of \$155 for a variety of home visiting programs, including making permanent and expanding the CalWorks Home Visiting Program so that CalWorks families with children under the age of two are eligible for services.
- Developmental screenings: Nearly \$95 million is allocated for trauma and developmental screenings for Medi-Cal beneficiaries, and \$60 million of one-time funds are allocated to train providers who administer trauma screenings over three years.

- Early learning and quality child care: The budget allocates \$195 million to provide professional development and support for child care providers and \$273 million to help fund construction or refurbishment of childcare facilities. It also includes \$215 million to fund child care for CalWorks recipients, and \$50 million in one-time General Fund support for an additional 3,086 *ongoing* child care slots, which ultimately would be funded from growth in Proposition 64 (legal cannabis) funds.
- **Preschool and full-day kindergarten:** The budget allocates \$31 million to increase access to full-day California State Preschool Program (CSPP) slots, resulting in an additional 10,000 slots that are not part of school districts. CSPP expands state preschool eligibility to include *all* families that live in an attendance area where 80% or more of students qualify for free or reduced meals. It also includes \$300 million for school districts to expand or retrofit facilities to expand kindergarten programs from part to full-day.
- **Child Savings Accounts:** The budget provides one-time funding of \$25 million in funding to local governments or nonprofit organizations to develop pilot programs aimed at encouraging families to save for college, and another one-time allocation of \$25 million to support college savings accounts at the ScholarShare Investment Board for eligible low-income California children born on or after July 1, 2020.

The final budget also sets aside \$5 million of one-time General Funds to develop a roadmap to comprehensive, quality, and affordable child care and preschool for children from birth through age 12, with particular focus on early childhood, and \$300,000 to staff an "Early Childhood Policy Council" to advise the Governor, the Legislature and Superintendent on early learning and child care policy. Despite the Governor's strong emphasis on assisting families with young children, there were several key legislative proposals supported by the First 5 Association that were not included in the budget, such as bills that sought to streamlining childcare reimbursement rates.

#### State Legislative Update

CP&A's scope of work includes tracking state and federal legislation that impacts the Commission's work. Utilizing the monthly 'bill tracker' documents provided by the Sacramentobased First 5 Association and First 5 California, CP&A evaluates and monitors proposed bills through the lens of impact to First 5 Orange County.

May 31 was the last day for bills to pass out of their house of origin, and July 10 was the last day for policy committees to hear bills before the summer recess. The State Legislature will reconvene Aug. 12.

Several bills that we had been tracking are dead for this legislative session such as Assemblyman Choi's AB 347 (pilot program for private funding for preschool) and Assemblywoman Melissa Melendez's AB 71 (clarification to independent contractor / employee classifications). But there are still a number of bills that the First 5 Association is still tracking and that CP&A will continue to monitor for impacts to Orange County, including:

- **AB 526 (Petrie-Norris)** -- This bill attempts to streamline Medi-Cal enrollment through Women, Infants and Children (WIC) programs. *Status:* To be heard in Senate Appropriations when legislature reconvenes in August.
- AB 1004 (McCarty) This bill would require the inclusion of free developmental screening services for individuals zero to 3 years of age for Medi-Cal beneficiaries as part of the Department of Health Care Services' Early and Periodic Screening, Diagnostic, and Treatment Services program. The First 5 Association is a co-sponsor of this bill. *Status:* To be heard in Senate Appropriations when legislature reconvenes in August.
- **AB 1001 (Ting)** -- This bill would revise the makeup requirements for local planning councils, and allow local councils to identify local priorities contingent on the adoption of a statewide database to collect information about families seeking childcare, families' eligibility for childcare, and enrollment in childcare. *Status:* To be heard in Senate Appropriations when legislature reconvenes in August.

The First 5 Association is also tracking another 13 bills related to quality early learning, comprehensive health and development and family resiliency.

#### Sacramento Advocacy Trip

CP&A led several First 5 OC Commissioners and executive staff on the annual Sacramento Advocacy Day trip on April 29-30, in conjunction with the statewide First 5 Association's annual Advocacy Day.

Commissioners Doug Chaffee and Dr. Ramin Baschshi joined Kim Goll, Kelly Pijl, and CP&A staff for a legislative reception and meetings at the state Capitol. The purpose of the trip was to educate Orange County state legislators and their staff members about key First 5 OC programs and accomplishments. In our meetings with 10 legislative offices, we discussed EDI and provided district-specific map of EDI data, and offered to serve as a resource for matters related to early childhood health, development, and education.

#### **Business Community Outreach**

Since last fall, CP&A has been strategizing ways to increase the Commission's engagement with the business community on early childhood issues. To that end, CP&A facilitated a presentation by Kim Goll on March 20 to Brandman University's "Premiere Partners Advisory Council." The advisory council is made up of human resource executives from local employers such as Ralphs/Food4Less, Vizio, Schools First Credit Union and So Cal Gas. The purpose of Kim's presentation was to educate employers about the Commission's work and to solicit feedback from the business community about whether childcare is an issue for employee retention and

productivity. To maximize engagement with this group, CP&A worked with commission staff to develop a pre-event survey gauging attendees' awareness of early childcare issues for their workforce. Approximately 40 human resources professionals attended, and CP&A is following up with individuals who expressed interest in learning more about the Commission's work and the Essentials Drive.

#### 2019 Essentials Diaper Drive

In Q2 and Q3, CP&A ramped up activities related to assisting HomeAid Orange County in planning the 12<sup>th</sup> Annual Essentials Diaper Drive. The Commission is the primary sponsor of this annual countywide event, which collects diapers, wipes and other essential items for homeless families with children served by the transitional shelters supported by the Commission and HomeAid Orange County.

Preliminary results show that over 1.1 million diapers and baby care items were donated between Mother's Day (May 12) and Father's Day (June 16) by the homebuilding industry, community groups, and public agencies, such as the County of Orange and Orange County Sheriff's Department. Oliver Jones of United Parcel Service (UPS) served as the Chair of the Essentials Steering Committee, comprised of Commission staff as well as members of the business and non-profit communities.

C&PA assisted Homeaid OC staff with the following tasks during the campaign-

- updating the Community Partner and Sponsorship Package materials;
- outreaching and securing drive hosts and financials sponsors such as Chapman University (\$1,000) and SoCal Gas (\$2,500);
- organizing the May 8<sup>th</sup> Community Partner Lunch to kick-off the Essentials campaign at Precious Life Shelter in Los Alamitos, including developing the program and securing speakers;
- securing Henry DiCarlo of KTLA Channel 5 to serve as the master of ceremonies at the Community Partner lunch and to attend the June 21 Builders for Babies event. He also promoted the campaign and event on-air several times;
- securing nearly a dozen representatives of elected officials to attend the event, as well as 'keynote' speaker Lina Lumme, who was a previous Precious Life resident and benefitted from the diaper campaign;
- coordinating production of Public Service Announcements through the OC Sheriff's Department and securing in-kind donation from Cox Communications to air the spots throughout its service area (Irvine and south Orange County cities).

The Essentials campaign concluded with the 'Builders for Babies' Drop-Off Event on June 21 under the at Angels Stadium. CP&A assisted in securing the following elected officials who served as judges for the diaper homes:

- First 5 OC Commissioner and OC Supervisor Doug Chaffee (4<sup>th</sup> District)
- Anaheim City Councilman Steve Faessel (5th District)
- Orange Mayor Mark Murphy
- Los Alamitos Councilman Dean Grose
- Mission Viejo City Councilwoman Wendy Bucknum
- Jack Raubolt, Chapman University

CP&A and Cornerstone Communications, the Commission's PR consulting firm, assisted with writing the media alert, securing coverage and providing day-of support for media and registration support. The event featured food, music, and a contest to build "homes" made of diaper boxes built by volunteer teams from Orange County homebuilding companies. Pre-event publicity and post-event press coverage this year included the 95.9 FM The Fish, LA Times / Daily Pilot, NBC-4, and The Patch Orange County.