



April 26, 2018

<p><b>SUBJECT</b></p> <p><b>APPROVAL OF ANNUAL REPORT GUIDELINES</b></p> <p><b>Strategic Priority Area 3. Public Will and Investment:</b> Build public engagement in, investment in, and support of the optimal wellbeing and development of children prenatal through age 5, their families, and communities.</p> <p><b>Goal 3.1. Communications:</b> Build public will in investing in early childhood by communicating the potential for positive outcomes for children and families, and the importance of prevention and early intervention.</p>	<p><input checked="" type="checkbox"/> Action</p> <p><input type="checkbox"/> Information</p>
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### **SUMMARY OF THE ISSUE**

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Staff have updated the Annual Report Guidelines for FY 2018–19 in preparation for the upcoming fiscal year. Data collection categories and definitions provide detail to support improved messaging about statewide contributions of First 5 commissions.

### **RECOMMENDATION**

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First 5 California (F5CA) staff recommends the Commission approve the proposed Annual Report Guidelines for FY 2018–19.

### **BACKGROUND OF KEY ISSUES**

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The California Children and Families Act of 1998 states:

*On or before November 1 of each year, each county commission shall submit its audit and report to the state commission for inclusion in the state commission's consolidated report required in subdivision (b). Each commission shall submit its report in a format prescribed by the state commission if the state commission approves that format in a public meeting prior to the fiscal year during which it is to be used by the county*

*commissions. The state commission shall develop the format in consultation with the county commissions.*

The purpose of the Annual Report Guidelines is to assist First 5 county commissions with fiscal and program data entered into the Annual Report Web-Based Reporting System (Annual Report System). Three forms in the Annual Report System collect relevant fiscal and program information to provide the Commission and the public an understanding of the spectrum of health and education resources provided to California's youngest children and their families: AR-1, County Revenue and Expenditure Summary; AR-2, Demographic Worksheet; and AR-3, County Evaluation Summary. F5CA staff summarize data provided via the Annual Report System for publication in the First 5 California Annual Report.

The California Children and Families Act defines three service-related Result Areas: Improved Family Functioning, Improved Child Functioning, and Improved Child Health. A fourth Result Area, Improved Systems of Care, was adopted to capture system-related efforts. The Act does not explicitly define detail reported within each Result Area such as services. Therefore, the Annual Report Guidelines provide additional categories and definitions to support the annual reporting process.

The FY 2018–19 AR-1 and AR-2 forms are unchanged from the FY 2017–18 Annual Report Guidelines. However, the AR-3 form is revised. In prior years, the AR-3 contained four narrative response sections: Evaluation Activities Completed, Evaluation Findings Reported, Policy Impact of Evaluation Results, and Improved Systems of Care. For FY 2018–19, all four sections are merged into one response. A new narrative response section is added for counties to provide highlights or accomplishments during the fiscal year. This information was previously submitted via email to F5CA. County Highlights are published as a portion of the Annual Report.

## **SUMMARY OF PREVIOUS COMMISSION DISCUSSION AND ACTION**

The proposed Annual Report Guidelines reflect collaboration between F5CA and the First 5 Association to provide more useful and detailed information in support of messaging the statewide contributions of First 5 county commissions. In a first round, starting in 2013, F5CA and the First 5 Association drafted guidelines piloted by the First 5 Association with the 58 First 5 county commissions. In April 2014, the Commission approved Annual Report Guidelines for FY 2013–14 and FY 2014–15 based on revised service definitions within each Result Area. The Annual Report Guidelines for FY 2015–16 and FY 2016–17 continued use of the service definitions first approved in April 2014.

In a second round of collaboration, the First 5 Association and F5CA staff proposed additional revisions for annual reporting data beginning FY 2017–18. Commissioners approved these revisions in April 2017. The FY 2018–19 reporting categories are the same as reporting categories for FY 2017–18. Briefly, the 2017 revisions include the addition of Grantee Type and Program Model for each Result Area in the AR-1 form, and the corresponding counts of population served (children, parents, and providers). In the AR–2 form, Demographic information (age group, race/ethnicity, language) are collected at the county level instead of Service Category level. Reported revenue

sources include First 5 IMPACT Funds, Dual Language Learner Pilot Funds, and expenditure details for Small Population County Funding Augmentation.

## **ATTACHMENTS**

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A. Annual Report Guidelines, Fiscal Year 2018–19



## **Annual Report Guidelines**

**Fiscal Year 2018–19**

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## Annual Report Preparation

The purpose of the Annual Report is to provide a summary of statewide expenditures and services.

### Deadline

All forms are due to First 5 California by 11:59 p.m. on October 31, 2019.

### Technical Assistance Contact

Please direct all technical assistance questions to the phone number or e-mail address below:

- First 5 California's main line: 916-263-1050
- E-mail: [annualreport@ccfc.ca.gov](mailto:annualreport@ccfc.ca.gov)

Annual reporting resources are available on the First 5 California website:  
<http://www.ccfc.ca.gov/partners/datasystems.html#ar>

### Form Auto-Generated Information

All forms populate the county name, date, and some totals automatically. The date is updated each time the form is accessed before final submission. Once the form is submitted, it may be edited and resubmitted up to the deadline submission date.

### Document Your Methodology

First 5 California highly recommends county commissions document the methodology used for distributing expenditures and program persons served for Annual Report data.

Documentation provides the following benefits to county commissions and First 5 California:

- Ensures reporting consistency, allowing counties to use the same approach in future years
- Improves accuracy of data
- Provides an audit trail

First 5 California recommends keeping the following documentation:

- List of programs mapped to each Result Area/Service Category/Grantee Type
- Criteria and resources used to determine how each program is mapped
- Ratio of allocations across multiple Result Areas/Service Categories/Grantee Types

**Note:** DO NOT send documentation to First 5 California.

## **County Revenue and Expenditure Summary (AR-1) Overview**

### **Purpose**

The County Revenue and Expenditure Summary form (AR-1) captures First 5 county commission fiscal data showing the relationship between financial resources and services. The fiscal data must be consistent with Generally Accepted Accounting Principles (GAAP) and each commission's audited financial statements.

The following outlines the requirements for completing the AR-1:

- All Fiscal Year (FY) 2018–19 funds received by the commission and recognized as revenue in the audited financial statements
- All FY 2018–19 expenditures or encumbrances, regardless of funding source, for a commission-run program or an externally-run program
- The population served (children, primary caregivers, providers), regardless of funding source, for a commission-run program or an externally run program. To the extent possible, counts of children, primary caregivers, and providers should be unduplicated at the level of the Grantee Type.

### **Standards**

The Annual Report format is consistent with the Governmental Accounting Standards Board's (GASB) national standards for governmental financial reporting and the First 5 Financial Management Guide, maintained by the First 5 Association of California.

### **Resources**

The following resources should be used to complete the AR-1:

- First 5 Financial Management Guide
- The State Controller's Office Standards and Procedures for Audits of Local Entities Administering the California Children and Families Act
- Prior year county commission audited financial statements
- GASB Codification of Governmental Accounting and Financial Reporting Standards

## **County Revenue and Expenditure Summary (AR-1) Instructions**

### **Information Reported**

This section provides a list of the auto-generated information and instructions on how to complete the following sections of the AR-1:

- Revenue Detail
- Results and Services – Expenditure Detail
- Other Expenditure Details
- Other Financing Sources
- Net Change in Fund Balance
- FY 2018–19 Fund Balance Status

### **Revenue Detail**

The Revenue Detail section must include total revenue from tobacco tax, First 5 California funds, other state and federal funds, and other revenue. Any county that identifies Small Population County Funding Augmentation (SPCFA) revenue is required to include additional SPCFA detail when reporting expenditures. Table 1 specifies revenue to be inserted into each cell to complete the Revenue Detail.

Table 1. Revenue Detail

Revenue Source	Description
Tobacco Tax Funds	Total Proposition 10 tobacco tax revenue
First 5 IMPACT Funds	Improve and Maximize Programs so All Children Thrive (First 5 IMPACT) consortia and regional hub funds received from First 5 California and other sources
Small Population County Funding Augmentation Funds	Small Population County Funding Augmentation funds received from First 5 California
Dual Language Learner Pilot Funds	Dual Language Learner Pilot funds received from First 5 California
Other Funds	Provide a brief description of other funds (source and/or use) received in the three available text boxes (e.g., CA-QRIS)
Grants	Provide grant title and a brief description of grant revenue received from other sources in the three available text boxes
Donations	Total donations received by county commission
Revenue from Interest Earned	Amount of county interest earned in all Children and Families Trust Fund revenue accounts during FY 18–19, including Surplus Money Investment Funds (SMIF)
Total Revenue	Automatically generated <b>Note:</b> Must match audited financial statements

## **Results and Services – Expenditure Details**

The California Children and Families Act statutorily defines three Result Areas that counties must strive to achieve: Improved Family Functioning, Improved Child Development, and Improved Child Health. Improved Systems of Care was subsequently added as a fourth result area to recognize the importance of these activities. This section requires county commissions to specify the total expenditures and people served (children, primary caregivers, providers) by Result Area with additional breakout by Service Category and Grantee Type. Program Model(s) should be indicated by selecting the appropriate checkbox.

Tables 2 and 3 specify information required for each cell to complete the Results and Services–Expenditure Details.

### **Number of Persons Served**

The number of persons served (children, primary caregiver, providers) in each Result Area/Service Category/Grantee Type should be entered into the AR-1. Reporting duplicates across Grantee Type in this section is acceptable. The total number of persons served across all Result Areas may be larger than the total number of persons reported in the AR-2 Demographic Worksheet.

Table 2. Result Areas, Service Categories, Grantee Types, and Program Models

Result Area 1: Improved Family Functioning				
Service Category	Grantee Type	Data to Insert	Program Model*	
General Family Support	County Health & Human Services	Expenditures, Number of Persons Served	211	
	County Office of Education/School District		HIPPY	
	Family Child Care		Benefits enrollment (CalFresh)	
	Child Care Centers		Abriendo Puertas	
	Higher Education		Triple P 2-3	
	Hospital/Health Plan		FRCs Core Support	
	R & R (COE or Non-Profit)		Five Protective Factors	
	Other Public		Avance	
			Other	
Intensive Family Support	CBO/Non-Profit		Triple P 4-5	
	Research/Consulting Firm		Incredible Years	
	Internal		Nurturing Parenting Program	
			Parents as Teachers	
			SafeCare	
		Other		
Total		Automatically generated		
Result Area 2: Improved Child Development				
Service Category	Grantee Type	Data to Insert	Program Model*	
Quality Early Learning Supports	County Health & Human Services	Expenditures, Number of Persons Served	Business Supports	
	County Office of Education/School District		CLASS	
	Family Child Care		CSEFEL	
	Child Care Centers		DRDP	
	Higher Education		ERS	
	Hospital/Health Plan		Facility Grants	
	R & R (COE or Non-Profit)		PITC	
	Other Public		Other	
Early Learning Programs (Direct Costs)	CBO/Non-Profit		Summer Programs	
	Research/Consulting Firm		Playgroups	
	Internal		First 5 funded Preschool Slots	
			Other	
Total			Automatically generated	

\*Expenditures and number of persons served are reported at the level of Grantee Type, but the Program Model(s) must be identified by selecting the appropriate checkbox.

Table 2 (continued)

Result Area 3: Improved Child Health				
Service Category	Grantee Type	Data to Insert	Program Model*	
General Health Education and Promotion	County Health & Human Services	Expenditures, Number of Persons Served	Nutrition	
	County Office of Education/School District		Health Access	
	Family Child Care		Safe Sleep	
	Child Care Centers		Car Safety	
	Higher Education		Tobacco/Drug	
			Other	
Prenatal and Infant Home Visiting	Hospital/Health Plan		Nurse Family Partnership	
	R & R (COE or Non-Profit)		Healthy Families America	
	Other Public		Other	
Oral Health Education and Treatment	CBO/Non-Profit			
	Research/Consulting Firm		Other	
	Internal			
Early Intervention			Other	
Total		Automatically generated		
Result Area 4: Improved Systems of Care				
Service Category	Grantee Type	Data to Insert	Program Model*	
Policy and Public Advocacy	County Health & Human Services	Expenditures		
	County Office of Education/School District		Other	
	Family Child Care			
Program and Systems Improvement Efforts	Child Care Centers		Baby Friendly Hospitals	
	Higher Education		Fatherhood	
	Hospital/Health Plan		Health Systems	
	R & R (COE or Non-Profit)		Family Strengthening Systems	
	Other Public		Place-Based	
	CBO/Non-Profit		Talk. Read. Sing.	
	Research/Consulting Firm		Trauma-Informed Care/ACES	
	Internal		Other	
Total			Automatically generated	

\*Expenditures and number of persons served are reported at the level of Grantee Type, but the Program Model(s) must be identified by selecting the appropriate checkbox.

## **Expenditure Detail**

The Expenditure Detail section provides a summary of program, administrative, and evaluation expenditures. Refer to the First 5 Financial Management Guide for detailed expenditure specifications. Recipients of SPCFA funds are required to submit additional expenditure details. Table 3 on the next page specifies information required for each cell to complete the Expenditure Detail section.

Appendix F provides a description of reporting requirements by expenditure detail.

Table 3. Expenditure Detail

Detail	Description	SPCFA Detail
FY 2018–19 Program Expenditures	Automatically generated after Results and Services – Expenditure Detail section is completed. Use Expenditure Notes section at end of the AR-1 to explain significant differences from FY 2017–18 (e.g., capital expenditures)	Include expenditure detail for SPCFA funds by: <ul style="list-style-type: none"> <li>• Evidence-Based Programs</li> <li>• Evidence-Informed Programs</li> <li>• Other Funded Programs, may include Result Area: Improved Systems of Care (Appendix B)</li> <li>• Professional Development, Training and Technical Assistance</li> </ul>
	Total Administrative Expenditures for FY 2018–19 which <u>may include</u> : <ul style="list-style-type: none"> <li>• Salaries and Wages</li> <li>• Overhead costs (rent, utilities, etc.)</li> </ul> do not include:	Include total expenditures for administrative costs using SPCFA funds
FY 2018–19 Administrative Expenditures	<ul style="list-style-type: none"> <li>• Direct program costs (outreach, education, or technical assistance)</li> </ul>	
	<ul style="list-style-type: none"> <li>• Direct evaluation costs (education or technical assistance)</li> <li>• Other grantee capacity building</li> </ul>	
FY 2018–19 Evaluation Expenditures	Total Evaluation Expenditures for FY 2018–19 do not include: <ul style="list-style-type: none"> <li>• Administrative costs</li> <li>• Direct program costs (outreach, education, or technical assistance)</li> <li>• Other grantee capacity building</li> </ul>	Include total expenditures for evaluation costs using SPCFA funds
Total Expenditures	Automatically generated Note: Must match audited financial statements	Automatically generated
Excess (Deficiency) of Revenues over (Under) Expenses	Automatically Generated	Automatically generated If unspent funds occurred during the FY, please list the amount and provide explanation in Expenditure Notes. Please provide breakdown of unspent funds (dollar amount and explanation), as well as dollar amount for any variance of populated figure due to county commission accounting practices (accrual of revenue, etc.)

## Other Financing Sources

The Other Financing Sources section captures transactions that do not fall into one of the pre-defined categories. The following table specifies information required for each cell to complete the Other Financing Sources section:

Table 4. Other Financing Sources

Source	Description
Sale(s) of Capital Assets	Enter the amount received in FY 2018–19 from any sale of capital assets
Other: Specify Source	Enter other financing activities, such as general issuance of debt, underwriter’s fees, debt-financed capital grants, etc. and describe source of funds in text box
Total Other Financing Sources	Automatically generated

## Net Change in Fund Balance

The Net Change in Fund Balance section captures year-to-year changes in county commission fund balances and must agree with the governmental fund financial statements. The following table specifies information required for each cell to complete the Net Change in Fund Balance section:

Table 5. Net Change in Fund Balance

Balance Change	Description
Fund Balance – Beginning July 1, 2018	Enter end of year fund balance from FY 2017–18 financial statements, with adjustments if applicable
Fund Balance – Ending June 30, 2019	Automatically generated
Net Change in Fund Balance	Automatically generated

## FY 2018–19 Fund Balance Status

This section collects data related to FY 2018–19 county commission fund balances and must match the audited financial statements. Refer to the First 5 Financial Management Guide for detailed fund balance specifications. The following table specifies information required for each cell to complete the Fund Balance section:

Table 6. Fund Balance

Designation	Description
Nonspendable	Amounts not in spendable form (inventory, prepaid items, etc.) or legally or contractually required to be maintained intact
Restricted	Amounts subject to externally enforceable legal restrictions on use. Restrictions can be further defined as either: 1) externally imposed by creditors, grantors, contributors, or laws and regulations of other governments; or 2) imposed by law through constitutional provisions or enabling legislation
Committed	Limitation imposed at the highest level of decision making, requiring formal action at the same level to modify or remove
Assigned	Portion of fund balance reflecting the commission's intended use of resources, which is established by the highest level of decision making, or body or an official designated for that purpose
Unassigned	Spendable amounts not contained in other fund balance classifications
Total Fund Balance	Automatically generated

## **Expenditure Notes**

The Expenditure Notes section provides 1,000 characters of text space for county commissions to document issues pertinent to expenditure data reported in the AR-1.

## **Expenditures to Include**

The AR-1 should reflect the following:

- Total expenditures related to each service category for FY 2018–19
- All expenditures, regardless of funding source, for a commission-run or an externally-run program

## **Expenditures Not to Include**

The following expenditures should not be included:

- In-kind funds
- Any funds that do not flow directly through county accounts
- Non-cash matches

## **County Service Demographic Worksheet (AR-2) Overview**

### **Purpose**

The purpose of the County Demographic Worksheet (AR-2) is to capture demographic information about the populations served by each First 5 commission at the county level.

### **Demographic Worksheet**

To ensure submission of accurate demographic data in the AR-2, provide unduplicated counts of populations served within the county including breakdowns by population category, race/ethnicity, and primary language spoken in the home.

## **County Service Demographic Worksheet (AR-2) Instructions**

### **Information Reported**

This section provides instructions on how to complete the AR-2:

- Population Served
- Race/Ethnicity of Population Served
- Primary Language Spoken in the Home
- Duplication Assessment

### **Demographic Worksheet**

The Demographic Worksheet captures unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers at the county level.

To the extent possible, counts of persons served should be unduplicated for AR-2. County commissions should aggregate number of persons served across Results/Services/Grantee Types reported in AR-1 to complete the Demographic Worksheet. Because duplicated counts are allowed in the AR-1, the total number of persons for demographic data reported in the AR-2 should be the same or less than the number of persons reported in the AR-1.

Population Served

Table 7 specifies data required for each cell to complete the Demographic worksheet of the AR-2:

Table 7. Population Served

<b>Category</b>	<b>Data to Insert</b>
Children Less than 3 Years Old	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers across all categories
Children from 3 <sup>rd</sup> to 6 <sup>th</sup> Birthday	
Children – Ages Unknown (birth to 6 <sup>th</sup> Birthday)	
Primary Caregivers	
Other Family Members	
Providers	
Total Population Served	Automatically Generated

Race/Ethnicity of Population Served

The Race/Ethnicity of Population Served section captures unduplicated counts of program participants by racial and ethnic category. These categories follow conventions of the California Department of Finance and U.S. Census Bureau.<sup>1</sup> Table 8 specifies data required for each cell to complete this section of the AR-2:

Table 8. Race/Ethnicity of Population Served

Race or Ethnicity	Data to Insert
Alaska Native/American Indian	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers
Asian	
Black/African-American	
Hispanic/Latino	
Native Hawaiian or Other Pacific Islander	
White	
Two or more races	
Other – Specify	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers for the most prevalent other racial/ethnic group for which there is no category; specify the category in the text box
Unknown	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers if the data was not collected, or if the participant does not identify with the other racial/ethnic categories and is not included in the count for “other”
Subtotals	Automatically generated  <b>Note:</b> The subtotal of the Children, Primary Caregivers, and Providers columns must match the corresponding totals in the Population Served section.
Total Population Served	Automatically generated

<sup>1</sup>Based on U.S. Office of Management and Budget 1997 guidelines for race and ethnicity.

## Primary Language Spoken in the Home

The Primary Language Spoken in the Home section captures the primary language predominantly or exclusively spoken at home for the population served. If the participant is bilingual, county commissions should enter the language that is likely the dominant language in the home. Refer to Appendix C for the definition of “Bilingual.” Table 9 specifies data required for each cell to complete the Primary Language Spoken in the Home section of the AR-2:

Table 9. Primary Languages Spoken in the Home

Language	Data to Insert
English	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers
Spanish	
Cantonese	
Mandarin	
Vietnamese	
Korean	
Other – Specify	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers. Identification of up to three additional language groups not listed above can be included; specify the category in the text box
Unknown	Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers if the data was not collected or if the participant does not identify with the other language categories and is not included in the counts for “other”
Subtotals	Automatically generated  <b>Note:</b> The subtotal of the Children, Primary Caregivers and provider columns must match the corresponding totals in the Population Served section.
Total Population Served	Automatically generated

## **Duplication Assessment**

The Duplication Assessment provides context for the counts of persons served in the Demographic Worksheet. Using the rating scale, identify the level of certainty that numbers reported in the Demographic Worksheet are unduplicated. Also, provide an estimate of the degree of duplication of services across all result areas.

## **County Evaluation Summary (AR-3) Overview**

### **Purpose**

This section provides a standardized format for each county commission to submit information about evaluation activities completed and findings reported in its Annual Evaluation Report or other evaluations conducted during the fiscal year focusing on all four Result Areas: Family Functioning, Improved Child Development, Improved Child Health, and Improved Systems of Care. County highlights describing accomplishments during the fiscal year are also reported and will be published in F5CA's Annual Report.

### **Submitting County Commission Annual Evaluation Reports**

County commissions must submit their Annual Evaluation Report in Adobe Acrobat format to [statutorydocuments@ccfc.ca.gov](mailto:statutorydocuments@ccfc.ca.gov), subject line: "<county name> Annual Evaluation Report." F5CA prefers to receive one Annual Evaluation Report from each county commission. However, multiple evaluation reports may be submitted if a single Annual Evaluation Report is not available for the fiscal year.

## County Evaluation Summary (AR-3) Instructions

### Information Reported

This section provides instructions on how to complete the following sections of the County Evaluation Summary (AR-3):

- Evaluation Activities Completed, Findings, and Policy Impact
- County Highlights

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

Provide a description of evaluation activities completed, evaluation findings, and their policy impact during the fiscal year. If findings are published, provide the citation and web link (if available online). These activities should focus on all four Result Areas: Family Functioning, Improved Child Development, Improved Child Health, and Improved Systems of Care. Include evaluations of prior year programs conducted during the current fiscal year. (4,000 characters maximum)

### County Highlights

**(Note: Your narrative will be published in the First 5 California Annual Report. Please use a professional writing style within the length limit).** Describe two or three highlights or accomplishments during the fiscal year. Examples may include efforts to address family resilience, health and development, quality early learning, sustainability and scale, or handling a community crisis. (1,000 characters maximum)

Table 10. Evaluation Questions and Examples.

Information Requested	Examples
<p>Provide a description of the evaluation activities completed, evaluation findings, and their policy impact during the fiscal year. (4,000 characters maximum)</p>	<ul style="list-style-type: none"> <li>• Evaluation of specific programs or initiatives</li> <li>• Collection of participant and outcome data for populations served</li> <li>• Evaluation findings or conclusions</li> <li>• Intervention outcomes (e.g., impact to children or family)</li> <li>• Process outcomes (e.g., program fidelity information)</li> <li>• Differences between actual and expected results</li> <li>• Decisions made based on the results</li> <li>• Funding strategy changes were made or anticipated to be made</li> <li>• Design of future evaluation studies</li> <li>• How evaluation information will be used to update the county strategic plan</li> </ul>
<p>Describe two or three highlights or accomplishments during the fiscal year. (1,000 characters maximum)</p>	<ul style="list-style-type: none"> <li>• Child and family outcomes</li> <li>• Program/process outcomes</li> <li>• Efforts to address family resilience</li> <li>• Health and development</li> <li>• Quality early learning</li> <li>• Sustainability and scale</li> <li>• Handling a community crisis (e.g., natural disaster)</li> </ul>

**Appendix A**  
**Population Reporting by Result Area and Service Category**

	<b>Children Ages 0 5</b>	<b>Primary Caregivers*</b>	<b>Providers</b>
<b>Improved Family Functioning</b>			
General Family Support	X	X	X
Intensive Family Support	X	X	X
<b>Improved Child Development</b>			
Quality Early Learning Supports	X		X
Early Learning Programs	X	X	X
<b>Improved Child Health</b>			
General Health Education and Promotion	X	X	
Prenatal and Home Visiting	X	x	
Oral Health Education and Treatment	X	X	X
Early Intervention	x	X	

\*See definition in Appendix C.

## **Appendix B**

### **Result Areas and Service Definitions**

#### **Result Area: Improved Family Functioning**

##### General Family Support

Programs providing short-term, non-intensive instruction on general parenting topics, and/or support for basic family needs and related case management (e.g., meals, groceries, clothing, emergency funding or household goods acquisition assistance, and temporary or permanent housing acquisition assistance). General family support may also include referrals to family services such as Family Resource Centers (FRCs) and other community resources. Adult and family literacy and fatherhood programs also should be included here. In general, these programs are designed to provide less intense and shorter term (“lighter touch”) support services and classes for families by paraprofessional staff (e.g., FRCs). Operational and support for family support agencies and/or networks should be reported here.

##### Targeted Intensive Family Support Services

Programs providing intensive and/or clinical services by a paraprofessional and/or professional, as well as one-to-one services in family support settings. Programs are generally evidence-based and designed to support at risk parents and families prenatally or with young children to increase knowledge and skills related to parenting and improved family functioning (e.g., counseling, family therapy, parent-child interaction approaches, and long-term classes or groups). This also is the category for reporting comprehensive and/or intensive services to special populations (i.e., homeless, teen parents, foster children, special needs). Data for home visiting programs working with children older than one year of age should be entered in this service area.

## **Result Area: Improved Child Development**

### Quality Early Learning Supports

Programs designed to enhance early learning programs such as professional development for early educators, or implementation and integration of services. This service category may include First 5 IMPACT and other quality rating and improvement system investments.

This also could include interagency collaboration, facility grants and supply grants to providers, support services to diverse populations, and database management and development. Extra supports in early childcare education (ECE) settings for homeless children, Federal Migrant or Tribal Child Care programs and children receiving Alternative Payment (AP) vouchers for childcare should be included here. This is ECE settings work; non-ECE settings will be in family support.

### Early Learning Programs

Early learning programs for children 0–5 years, which may include preschool programs, kindergarten transition services, and early learning programs for all ages. Early learning programs for primary caregiver and their children together, such as playgroups, primarily focusing on 0–3 year-olds are also included here. Programs may include are child related early literacy and Science, Technology, Engineering, and Math (STEM) programs; programs for homeless children; migrant programs; and similar investments.

## **Result Area: Improved Child Health**

### General Health Education and Promotion

Programs promoting children's healthy development, including nutrition, fitness, access to health/dental/vision insurance and health services. Programs also may focus on increased awareness of information about child safety seats, fire, safe sleep, and drug/alcohol/tobacco education.

### Prenatal and Infant Home Visiting

Programs designed to improve the health and well-being of women during and after pregnancy, and the infant by a paraprofessional and/or professional. Programs may provide comprehensive support including parenting education, health information, developmental assessments, providing referrals, and promoting early learning. These are home visiting programs that include prenatal care and generally do not include programs for children older than one year of age.

### Oral Health

Programs providing an array of services that can include dental screening, assessment, cleaning and preventive care, treatment, fluoride varnish, and parent education on the importance of oral health care. This may include provider training and care coordination of services.

### Early Intervention

Programs providing screening, assessment, diagnostic services. Programs including early intervention or intensive services to children with disabilities and other special needs, or at-risk for special needs should be included here. May include strategies targeting language and communication skills, social and emotional development, developmental delays, and related parent education. Mental Health Consultations in ECE settings should be included here. "Special Needs" refers to those children who are between birth and five years of age and meet the definition of "Special Needs" provided in the General Definitions in Appendix D.

## **Result Area: Improved Systems of Care**

### Policy and Public Advocacy

Policy and Public Advocacy includes community awareness, public outreach and education on issues related to children 0–5 and their families. This also should include work focused on policy change, work with local and statewide stakeholders, policy development, and related efforts. Town Halls should be reported here.

### Program and Systems Improvement Efforts

Program and Systems improvement include efforts to improve the service quality, improving connections between programs, infrastructure support, and professional development. This also may include activities such as business planning, grant writing workshops, sustainability workshops, and assistance in planning and promoting large community conferences or forums. These improvement efforts should result in improved outcomes for children ages 0–5 years of age. Improvements could be geared toward creating a well-trained workforce with shared professional standards and competencies, creating strong and effective linkages across particular system components, or leveraging funding to sustain the system of care. Database management and other cross-agency systems evaluation support should be reported here.

## **Appendix C Population Definitions**

### **Bilingual**

A person who speaks two languages equally well and uses one or both languages in any number of settings. **Note:** To report the primary language spoken in the home in the AR-2, select language predominantly spoken in the home. If the primary language spoken in the home is unknown, enter the most likely choice.

### **Children Less than Three Years Old**

Children ages zero up to their third birthday.

### **Children from Third to Sixth Birthday**

Children from the day of their third birthday up to the day of their sixth birthday.

### **Children – Ages Unknown**

Any child whose age is unknown but likely has not yet reached their sixth birthday.

### **Other Family Members**

Family members who are not primary caregivers who participate with children in First 5 activities. Includes siblings age six or older.

### **Primary Caregivers**

Adults acting as the primary caregivers for a child age zero to their sixth birthday who receive direct services from a commission program. Includes parents, legal guardians, foster parents, grandparents, or other family members.

### **Providers**

Includes health, social service, childcare and education providers, or other persons who provide services to pregnant women and/or children ages zero to their sixth birthday, or who participate in First 5 training or support programs.

### **Race/Ethnicity**

Racial categories used by the United States Census Bureau reflect a social definition of race by which people self-identify with one or more social groups. Ethnicity determines whether a person is of Hispanic origin or not. These categories follow conventions of the Office of Management and Budget 1997 guidelines for race and ethnicity. **Note:** For the AR-2 Demographic Worksheet, select the race or ethnicity that best describes the program participant. Report Filipinos under the Asian category.

## **Appendix D General Definitions**

### **Grantee Type**

Category of contractor, agency, or organization receiving First 5 county commission funds for purposes of carrying out county commission work.

### **Program**

A specific service with a common objective funded and/or provided by a commission and/or public or private agency, or California Children and Families Act (Proposition 10) dollars. Programs are mapped to one or more of the results and services.

### **Program Expenditures**

Funds expended under the established definition of program costs: "Costs incurred by local First 5 commissions readily assignable to a program, grantee, contractor, or service provider (other than evaluation activities) and/or in the execution of direct service provision." Refer to the First 5 Financial Management Guide for additional guidance.

### **Program Model**

Name of the evidence-based or evidence-informed strategy providing services or education to populations served by First 5 county commissions.

### **Special Needs**

Children with special needs includes those identified with disabilities, health, or mental health conditions requiring early intervention, special education services, or other specialized services and supports.

Special needs children include those:

- Who are protected by the Americans with Disabilities Act (ADA)
- Who have, or are at-risk for, a developmental disability as defined by the Individuals with Disabilities Education Act (IDEA) Part C (Early Start 0 to 3 years old), or have a specific diagnosis as defined by IDEA Part B (3 years and above)

- Who meet the Diagnostic and Statistical Manual of Mental Disorders [American Psychiatric Association. (2013). Diagnostic and statistical manual of mental disorders (5th ed.). Arlington, VA: American Psychiatric Publishing]/ZERO to THREE/California Infant, Preschool, and Family Mental Health Initiative definition, or the Federal Maternal and Child Health Bureau at the U.S. Department of Health and Human Services Special Needs definition
- Without identified conditions, but requiring specialized services, supports, or monitoring. These children may not have a specific diagnosis, but are children whose behavior, development and/or health affect their family's ability to find and maintain services

## **Appendix E**

### **Small Population County Funding Augmentation Definitions**

#### **Administrative Costs**

Funds that support personnel and operating costs necessary to accomplish the work set forth in the Local Area Agreement.

#### **Evaluation**

Costs can include the expense to hire an outside consultant or may include salary of an employee to complete the program evaluation and report.

#### **Evidence-Based**

Programs, strategies, or approaches shown through scientific research and evaluation to be effective and have evidence that supports generalizable conclusions (as defined in First 5 IMPACT RFA Appendix B, Glossary, p. 97).

#### **Evidence-Informed**

Program design and implementation based on the best available research evidence. This incorporates flexibility that can include families' cultural backgrounds, community values, and individual preferences into the program. Use of an evidence-based model with minor modifications for local implementation.

#### **Other Funded Programs**

Programs receiving SPCFA that are not evidence-based or evidence-informed and have a completed, current High-Quality Plan. May also include activities in Result Area: Improved Systems of Care (Appendix B).

#### **Professional Development, Training and Technical Assistance Costs**

Funds that support opportunities as initial preparation (pre-service) and learning experiences (in-service) designed to improve the knowledge, skills/behaviors, and attitudes/values of the early childhood workforce. Professional development experiences must be evidence based; structured to promote linkages between research and practice; and responsive to each learner's background, experiences, and the current context of his/her role (National Association for the Education of Young Children).

#### **Unspent Funds**

Annual SPCFA funds not used in any of the above categories. Funds in this field may be due to a variance in accounting practices between state and county commissions.

## Appendix F Reporting Requirements by Expenditure Detail

