

# **Small Population County Funding Augmentation**

## **Framework Implementation Plan Review**

May 21, 2015

First 5 California Staff  
Program Management, Evaluation, and  
Administrative Services Divisions

# Agenda

- Funding Overview of the Small Population County Funding Augmentation (SPCFA) Program
- Content of the Framework Implementation Plan (FIP)
- FIP Core Area A – Successful Local Systems
- FIP Core Area B – Measuring Outcomes and Progress
- FIP Focused Investment Area C – Promoting Early Learning and Healthy Development Outcomes for Children
- Development of the FIP High-quality Plan Template
- SPCFA Resources and Contact Information

# Funding Overview

Baseline amount determined by the number of live births in 2011 and will remain consistent for the duration of the SPCFA

Number of Births	County	2011 Births	Baseline
1-50	Alpine	6	\$275,000
	Sierra	23	
51-99	Modoc	87	\$300,000
100-150	Trinity	123	\$325,000
	Mariposa	132	
151-200	Mono	156	\$350,000
	Plumas	165	
201-250	Inyo	213	\$375,000
251-300	Amador	269	\$400,000
	Lassen	300	
301-350	Colusa	302	\$425,000
	Calaveras	326	
	Del Norte	337	

Number of Births	County	2011 Births	Baseline
351-400	Glenn	391	\$450,000
401-450	Tuolumne	430	\$475,000
451-500	Siskiyou	472	\$500,000
701-750	Lake	715	\$625,000
	Tehama	728	
751-800	Nevada	761	\$650,000
	San Benito	772	

Note: The formula includes intervals from 501-700 births, at the same rate of increase, but were not included for ease of reading.

# Funding Overview Continued

The following will occur provided the County Commission is in compliance with the Local Area Agreement (LAA):

- First 5 California will fund the difference between current year tax revenue and the pre-determined baseline amount for each county.
- Seventy-five percent of First 5 California's estimated contribution (using current year revenue projections) will be disbursed during July/August of each fiscal year.
- The remainder of funding will be disbursed once final tax revenue amount for the fiscal year has been determined; this occurs in August/September.
- Counties are guaranteed the baseline amount each year of the SPCFA and should use this figure for budgeting purposes.

# Funding Overview Continued

Example:

- Assume baseline for County Z is \$300,000 and estimated tax revenue for FY 2015–16 is \$100,000 (based on current live birth data published by Department of Finance).
  - Initial disbursement to County Z will be made in July/August 2015 in the amount of \$150,000 (seventy-five percent of \$200,000).
- In August 2016, First 5 California receives final FY 2015–16 tax revenue data for County Z from the Board of Equalization; tax revenue total is \$97,500.
  - The final disbursement for County Z will be \$52,500.

# Fiscal Reporting Details

Actual expenditure data for programs, evaluation, and administrative costs will be reported each fiscal year using First 5 California's Annual Report Web-Based Reporting System.

- Information will be inserted in the Expenditure Notes section of the AR-1.
- Annual report submissions are due October 31 for the previous fiscal year.

Fund Balance – The LAA states funding can be withheld if unassigned fund balances exceed 100 percent of the portion to be funded by First 5 California.

# FIP Content

The FIP includes the following:

- Fiscal Stability Plan Checklist
- Evaluation Checklist
- Strategic Plan Checklist
- High-quality Plan Template

The FIP due date is June 30, 2015.

# FIP Core Area A

## Successful Local Systems

1. Local Administration – Administrative Costs and Annual Independent Audit
2. Fiscal Systems Stability – Independent Audit Findings and Fiscal Stability Plan
3. Continuous Quality Improvement – Technical Assistance Participation
4. Local Service Systems Integration – Building Partnerships for Stronger Systems

# Administrative Costs

The Local Area Agreement states no more than 25 percent of SPCFA funds can be spent on administrative costs.

- Per the First 5 Financial Management Guide, administrative costs are defined as costs incurred in support of the general management and administration of a First 5 county commission, for a common or joint purpose that benefits more than one cost objective (other than evaluation activities), and/or those costs not readily assignable to a program or direct service.
- Other sources of revenue can be used in conjunction with SPCFA dollars to cover administrative costs.

# Administrative Costs Continued

- Total administrative costs should not exceed the percentage limit adopted by county commissions pursuant to Health and Safety Code Section 130140(d)(5).

Example: If County Z receives \$202,500 from First 5 California, no more than \$50,625 of SPCFA funds can be used for administrative costs.

# Annual Audit Requirements

Health and Safety Code Section 130150(a) states that each county commission shall conduct an audit on or before October 15 of each year and submit it to First 5 California by November 1.

Health and Safety Code Section 130151 discusses the Guidelines for Expanded Annual Audits, including Long-Range Financial Plans.

## Framework Implementation Plan CORE A – Successful Local Systems Checklist for Core Area A.2 – Fiscal Stability Plan

The following checklist provides guidance for county commissions regarding Fiscal Stability Plans, also referred to as Long-range Financial Plans or Long-term Financial Plans, as required in California Health and Safety Code Section 130151(b)(5). Fiscal Stability Plans should be a component of every county commission’s policies and practices, with the recommended approach identified in Section 4.2 of the First 5 Financial Management Guide. For any element on the Fiscal Stability Plan checked “No,” a county commission will need to **explain in the “Notes or Comments” column the steps that will be taken to meet the element, along with training and technical assistance needed to accomplish the steps, and timeframe for their completion.**



**Currently Submitted Fiscal Stability Plan Year(s):** \_\_\_\_\_

**Expected Completion Date of Next Fiscal Stability Plan:** \_\_\_\_\_

Fiscal Stability Plan Element	Yes	No	Notes or Comments
1. The county has a Fiscal Stability Plan (Plan).	<input type="checkbox"/>	<input type="checkbox"/>	
2. The Plan assesses the long-term financial implications of current and proposed policies, programs, and assumptions.	<input type="checkbox"/>	<input type="checkbox"/>	
3. The Plan includes the following components:			
a. An assessment of needs, trends, opportunities, and potential shortfalls the commission will face in the future and actions needed to address these issues.	<input type="checkbox"/>	<input type="checkbox"/>	
b. Forecasts of future revenues, expenditures, and reserves for a period of at least five years.	<input type="checkbox"/>	<input type="checkbox"/>	
c. A depiction of total revenue and expenditure levels for the planning period.	<input type="checkbox"/>	<input type="checkbox"/>	
d. A strategy for allocating resources among the objectives in the Strategic Plan.	<input type="checkbox"/>	<input type="checkbox"/>	
e. An assessment of the “revenue risk” attached to the Proposition 10 tobacco tax funding stream.	<input type="checkbox"/>	<input type="checkbox"/>	
4. Available revenues and reserves exceed expenditures during the planning period.	<input type="checkbox"/>	<input type="checkbox"/>	
5. The Plan is updated every year in concert with budget preparation.	<input type="checkbox"/>	<input type="checkbox"/>	
6. The Plan has been formally adopted by the county commission in a public hearing (annual requirement).	<input type="checkbox"/>	<input type="checkbox"/>	

# FIP Core Area B

## Measuring Outcomes and Progress

1. Evaluation – Evaluation Report Requirement
2. Strategic Plan – Adopted and Updated

## Framework Implementation Plan CORE B – Measuring Outcomes and Progress Checklist for Core Area B.1 – Evaluation

An annual evaluation report is a written document that describes how a county commission monitored and evaluated the programs listed in strategic plan. It presents the findings, conclusions, and recommendations from one or more evaluations, including recommendations for how evaluation results can be used to guide program improvement and decision making. For any evaluation element checked “No,” the county commission will need to **explain in the “Notes or Comments” column the steps that will be taken to meet the element, along with training and technical assistance needed to accomplish the steps, and timeframe for their completion.**

Currently Submitted Evaluation Report Year(s): \_\_\_\_\_

Expected Completion Date of Next Evaluation Report: \_\_\_\_\_

Evaluation Element	Yes	No	Notes or Comments
1. Does the annual evaluation report include a description of programs funded by the local commission, including individual program objectives, inputs, activities, outputs, and expected outcomes? This may be represented as a logic model or as a narrative.	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the annual evaluation report include an overview of each funded program’s evaluation, including research questions, data sources, analysis methods, findings, and conclusions?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the annual evaluation report include a summary of all process measures (to assess whether a program is being implemented as planned) and outcome measures (to assess impact on clients or participants) used in the program evaluation?	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the annual evaluation report include a narrative describing how program-specific evaluation results were used, including whether used in a continuous quality improvement process and future program funding consideration?	<input type="checkbox"/>	<input type="checkbox"/>	

# Evaluation Checklist Example

The First 5 county commission has a plan in place to evaluate all of the funded programs.

- Logic model
- Research questions
- Data collection methods
- Analyze data
  - Year 1: Provide overview of implementation for Continuous Quality Improvement processes and feedback
  - Year 2: Provide deeper analysis on family outcomes

## Framework Implementation Plan CORE AREA B Measuring Outcomes and Progress Checklist for Core Area B. 2 – Strategic Plan

The following checklist provides guidance for county commissions about required (Health and Safety Code (HSC) 130140) and research-based elements of a strategic plan. Each element is exemplified using relevant sections from First 5 California’s 2014 Strategic Plan. For purposes of this Framework Implementation Plan, programs will be defined broadly as an objective, impact, or specific priority area, but most likely will not include the specific contractor or program name. For any element on the strategic plan checked “No,” a county commission will need to **explain in the “Notes or Comments” column the steps that will be taken to meet the element, along with training and technical assistance needed to accomplish the steps, and timeframe for their completion.**

Currently Submitted Strategic Plan Year(s): \_\_\_\_\_

Expected Completion Date of Next Strategic Plan: \_\_\_\_\_

HSC 130140 Section	Strategic Plan Element	Yes	No	Notes or Comments
C.ii.	1. The county’s strategic plan clearly describes the goals and objective proposed to be attained.	<input type="checkbox"/>	<input type="checkbox"/>	
C.ii.	2. The strategic plan clearly and completely describes the programs, services, and projects proposed to be provided, sponsored, or facilitated.	<input type="checkbox"/>	<input type="checkbox"/>	
C.ii.	3. The strategic plan clearly describes how measurable outcomes of such programs, services, and projects will be determined by the county commission using appropriate reliable indicators.	<input type="checkbox"/>	<input type="checkbox"/>	
C.ii.	4. The strategic plan clearly describes how programs, services, and projects relating to early childhood development within the county will be integrated into a consumer-oriented and easily accessible system.	<input type="checkbox"/>	<input type="checkbox"/>	
C.iii	5. The county commission reviews its strategic plan annually and revises the plan as necessary or appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	
D.	6. The county commission conducted at least one public hearing on its proposed county strategic plan before the plan was adopted.	<input type="checkbox"/>	<input type="checkbox"/>	
E.	7. The county commission conducts at least one public hearing on its periodic (annual) review of the county strategic plan before any revisions to the plan are adopted.	<input type="checkbox"/>	<input type="checkbox"/>	
F.	8. The county commission submitted its adopted county strategic plan, and any subsequent revisions to First 5 California.	<input type="checkbox"/>	<input type="checkbox"/>	

**Small Population County Funding Augmentation (SPCFA)  
 Framework Implementation Plan Focused Investment Area C: Promoting Early Learning and  
 Healthy Development Outcomes for Children  
 High-quality Plan Template (Revised May 2015)**

<b>First 5 County Name</b>		<b>Projected Program Funding [1]</b>	
<b>SPCFA-Funded Program or Strategy</b>		<b>FY 2015-16</b>	<b>FY 2016-17</b>
<b>Target Population</b>		\$ -	\$ -
<b>Focused Investment Area [2]</b>		<b>Wholly Funded:</b> <input type="checkbox"/> <b>Partially Funded:</b> <input type="checkbox"/>	
<b>Program Standard [3]</b>			
<b>Goal</b>			
<b>Training &amp; Technical Assistance Needed to Support High-quality Implementation and Continuous Quality Improvement</b>			

<b>Activities to Implement the SPCFA-funded Program or Strategy</b>	<b>Expected Output or Outcome of Activity [4]</b>	<b>Responsible Parties [5]</b>	<b>Timeline [6]</b>
<b>Local Systems Integration [7]</b>			
<b>Evaluation [8]</b>			

[1] Identify projected amount of SPCFA dollars needed to fund the program for each fiscal year specified. Indicate if the program is wholly or partially funded by SPCFA by checking the corresponding box.

[2] Choose a minimum of one Focused Investment Area from the following: Developmental and Health Needs, Engaging and Supporting Families, or High-quality Early Learning/Early Educator Support and Effectiveness.

[3] Identify and describe the Program Standard from the following: Evidence-based Model/Framework, Promising Practices Model/Framework, Promising Practices Local Model, or High-quality Local Model. Description should include program model name and local implementation strategies. For Evidence-based, include literature and/or research citation.

[4] Expected Outputs or Outcomes are the measurable changes after a program activity is underway during the implementation period. Outcomes or outputs may include, but are not limited to: numbers, services, behavior, knowledge, skills, and status.

[5] Responsible Parties are key players in carrying out the program or activity to ensure outcomes are met. Identify them by name or role including families, evaluators, and program staff.

[6] Timelines are time intervals that create structure, measurability, and accountability within an action plan and may be stated as a specific date or a date range depending on the type of activity.

[7] Local Service Systems Integration addresses work with community partners and available state and/or federal programs to integrate service systems, develop new partnerships, and other activities to build a stronger system of services and support for children prenatal through age five.

[8] Describe evaluation activities and outcome measures to determine the effect of SPCFA investment.

## Focused Investment Area [2]

Each SPCFA-funded program or strategy must address at least one of the following areas:

1. Developmental and Health Needs
2. Engaging and Supporting Families
3. High-quality Early Learning/Early Educator Support and Effectiveness

# Program Standard [3]

Each SPCFA-funded program or strategy must use one of the following Program Standards:

1. Evidenced-Based Model/Framework
2. Promising Practices Model/Framework
3. Promising Practices Local Model
4. High-quality Local Model

# Goal and Technical Assistance

Specify the goal for the program or strategy

Identify Training & Technical Assistance (T&TA) needed to support high-quality implementation and continuous quality improvement

# FIP High-quality Plan Template Example

<b>FIP Focused Investment Area C:</b>	<b>Promoting Early Learning and Healthy Development Outcomes for Children High-quality Plan EXAMPLE</b>		
First 5 County Name	First 5 Sample	Projected Program Funding (1)	
SPCFA-funded Program or Strategy	Raising a Reader (RAR)	FY 2015-16	FY 2016-17
Target Population	High Risk Children 0 to 5 and Their Families	\$ 18,000	\$0
Focused Investment Area (2)	<ul style="list-style-type: none"> <li>Engaging and Supporting Families</li> <li>High-quality Early Learning</li> </ul>	Wholly Funded <input type="checkbox"/> Partially Funded <input checked="" type="checkbox"/>	
Program Standard (3)	Evidence-Based		
Goal	Increase language and literacy		
Training & Technical Assistance Needed to Support High-quality Implementation and Continuous Quality Improvement	Parent outreach strategies		

# Activities to Implement the SPCFA-funded Program

Describe each activity that will be undertaken to implement the identified SPCFA-funded program or strategy.

Explain how the activity will be accomplished.

# Expected Output or Outcome of Activity [4]

What measureable changes will result from program implementation?

How will the changes or outcomes be reported?

# Responsible Parties [5]

Responsible parties are key players in carrying out the program or strategy to ensure outcomes are met. Identify them by title or role, including families, evaluators, and program staff.

# Timeline [6]

Timelines are intervals that create structure, measurability, and accountability within an action plan and may be stated as a specific date or a date range depending on the type of activity.

# FIP High-quality Plan Template Example

Activities to Implement the SPCFA funded Program	Expected Output or Outcome of Activity	Responsible Parties	Timeline
Hire and train RAR provider	Knowledgeable RAR provider	County Executive Director (ED)	7/1/15-8/15/15
Orient parents to RAR	Parents understand program, goals and expectations for participation	RAR staff	9/1/15-9/15/15
Hold 10-week RAR program	Increase in family literacy activities and access to materials	RAR staff	9/15/15-11/30/15

# Local Systems Integration [7]

Local Systems Integration addresses work with community partners and available state and/or federal programs to integrate service systems, develop new partnerships, and engage in other activities to build a stronger system of services and support for children prenatal through age 5.

# Local Systems Integration Example

LOCAL SYSTEMS INTEGRATION:			
Activities to Implement the SPCFA funded Program	Expected Output or Outcome of Activity	Responsible Parties	Timeline
County will partner with two local libraries.	Enter into an agreement with the local libraries to host RAR classes.	County ED	7/1/15-8/10/15
Two library branches will host the RAR class.	Two libraries host 10-week RAR program	RAR staff	9/1/15-11/30/15
Partner with local police dept. for graduation activities.	Donations to cover the costs of graduation activities.	RAR staff	7/1/15-8/15/15

# Evaluation [8]

Evaluation activities are processes, outcome measures, and strategies specific to the funded program.

# Evaluation [8] Example

EVALUATION:			
Activities to Implement the SPCFA-funded Program	Expected Output or Outcome of Activity	Responsible Parties	Timeline
Sign-in Sheet	100% attendance by all parents	RAR Staff	9/1/15-11/30/15
Parent Pre-Survey	Pre-Survey to determine access to reading materials	RAR Staff	9/1/15-9/8/15
Parent Post-Survey	Post-Survey to determine increased access to reading materials, parent promotion of reading, and overall satisfaction with the RAR program	RAR Staff	11/23/15-11/30/15

**Small Population County Funding Augmentation (SPCFA)  
 Framework Implementation Plan Focused Investment Area C: Promoting Early Learning and  
 Healthy Development Outcomes for Children  
 High-quality Plan Template (Revised May 2015)**

<b>First 5 County Name</b>	First 5 Sample	<b>Projected Program Funding [1]</b>	
<b>SPCFA-funded Program or Strategy</b>	Raising A Reader	<b>FY 2015-16</b>	<b>FY 2016-17</b>
<b>Target Population</b>	High Risk Children 0-5 and Their Families	\$18,000.00	\$0.00
<b>Focused Investment Area [2]</b>	Engaging and Supporting Families, High Quality Early Learning	<b>Wholly Funded:</b> <input checked="" type="checkbox"/> <b>Partially Funded:</b> <input type="checkbox"/>	
<b>Program Standard [3]</b>	Evidence Based		
<b>Goal</b>	Increase language and literacy		
<b>Training &amp; Technical Assistance Needed to Support High-Quality Implementation and Continuous Quality Improvement</b>	Parent outreach strategies, transportation resources to offer families		

<b>Activities to Implement the SPCFA-funded Program or Strategy</b>	<b>Expected Output or Outcome of Activity [4]</b>	<b>Responsible Parties [5]</b>	<b>Timeline [6]</b>
Hire and Train RAR Staff	Experienced RAR provider	County ED	7/1/2015 - 8/15/2015
Orient parents to RAR	Parents understand program, goals and, expectations for participation	RAR staff	9/1/2015 - 9/15/2015
Hold 10-week RAR program	Increase in family literacy activities and access to materials	RAR staff	9/15/2015 - 11/30/2015
<b>Local Systems Integration [7]</b> 1. County will partner with two local libraries. 2. Two library branches will host the RAR class. 3. Partner with local police depart. for graduation activities.	1. Enter into an agreement with local libraries to host RAR classes. 2. Two libraries host 10-week RAR program. 3. Donations to cover the costs of graduation activities.	1. County ED 2. RAR Staff 3. RAR Staff	1. 7/1/2015-8/10/2015 2. 9/1/2015-11/30/2015 3. 7/1/2015-8/15/2015
<b>Evaluation [8]</b> 1. Sign in Sheet 2. Parent Pre-Survey 3. Parent Post Survey	1. 100% attendance by all parents. 2. Pre-Survey to determine access to reading materials. 3. Post-Survey to determine increased access to reading materials, parent promotion of reading, and overall satisfaction with the RAR program.	1. RAR Staff 2. RAR Staff 3. RAR Staff	1. 9/1/2015-11/30/2015 2. 9/1/2015-9/8/2015 3. 11/23/2015-11/30/2015

# Due Dates

Deliverables	Fiscal Year 2014–2015	Fiscal Year 2015–2016	Fiscal Year 2016–2017
<b>Certification Checklist</b>	With Signed Local Area Agreement (LAA)	Updated July 31, 2015	Updated July 31, 2016
<b>Framework Implementation Plan (FIP)</b>	As developed during initial year, but no later than June 30, 2015	Status update June 30, 2016 for FY 2016-17	N/A
<b>Annual Performance Report</b>	Waived	July 31, 2016	July 31, 2017
<b>Annual Evaluation Report</b>	Most current version with signed LAA	October 31, 2015 (for Fiscal Year 2014–2015 or Fiscal Year 2013–2014)	October 31, 2016 (for Fiscal Year 2014–2015 or Fiscal Year 2015–2016)
<b>Strategic Plan</b>	When update is needed	When update is needed	When update is needed

## SPCFA Resources

- Kids and Smoke Don't Mix Online Training (<http://helpline.ucsd.edu/login/index.php?lang=en>)
- PD2GO (<https://f5cae4.org/about>)
- Classroom Assessment Scoring System<sup>®</sup> (CLASS<sup>®</sup>)
- Evaluation Toolkit ([http://www.ccfca.ca.gov/research/research\\_evaluation\\_toolkit.html](http://www.ccfca.ca.gov/research/research_evaluation_toolkit.html))

# For More Information

**First 5 California SPCFA Program Webpage:**

**[http://www.ccfc.ca.gov/programs/programs\\_spcfa.html](http://www.ccfc.ca.gov/programs/programs_spcfa.html)**

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