



Annual Report Guidelines

Fiscal Year 2021–22

Approved April 2021

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Annual Report Preparation

The purpose of the Annual Report is to provide a statewide summary of county commission revenues, expenditures, and population served as required by the California Children and Families Act (Health and Safety Code, Sections 130100–130155).

This Guidelines document provides information on the categories and definitions of data required for the Annual Reporting process for fiscal year (FY) 2021–22. State commissioners approved these guidelines in April 2021.

Deadline

All completed data submission forms are due to First 5 California by 11:59 p.m. on October 31, 2022.

Technical Assistance Contacts

Please note: To ensure consistency in reporting across county commissions, First 5 California and the First 5 Association will collaborate on technical assistance for the annual report process. As the first step, please direct your questions to First 5 California. For particular topics, First 5 California may refer questions to the First 5 Association.

Please contact the e-mail address annualreport@ccfc.ca.gov for the following assistance or questions:

- Assistance with accessing the online annual report data system
- County contact e-mail addresses for annual reporting purposes
- Fiscal reporting requirements under the California Children and Families Act
- Request for extension beyond the deadline
- General questions about definitions for Result Area, Service Category, Grantee Type, and Program Model
- Specific questions about reporting county commission programs and initiatives may be referred to the First 5 Association

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

Form Auto-Generated Information

All data system 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 counties keep 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 FY 2021–22 funds received by the commission and recognized as revenue in the audited financial statements
- All FY 2021–22 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 (<http://first5association.org>)
- The State Controller's Office Standards and Procedures for Audits of Local Entities Administering the California Children and Families Act (<https://www.sco.ca.gov>)
- Prior year county commission audited financial statements
- GASB Codification of Governmental Accounting and Financial Reporting Standards (<https://www.gasb.org>)

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 2021–22 Fund Balance Status

Revenue Detail

The Revenue Detail section must include total revenue from tobacco tax, First 5 California funds, other public funds (federal, state, local), and additional revenue from sources such as services, grants, and donations. Table 1 specifies revenue to be inserted into each cell to complete the Revenue Detail.

For FY 2021–22, county commissions receiving Small Population County Funding Augmentation (SPCFA) must report these funds as revenue but are no longer required to include additional SPCFA detail when reporting expenditures.

Table 1. Revenue Detail

| Revenue Source | Description |
|--|--|
| Tobacco Tax Funds | Total Proposition 10 and Proposition 56 tobacco tax revenue. (Proposition 10 enacted as California Children and Families Act of 1998; Proposition 56 enacted as California Healthcare, Research and Prevention Tobacco Tax Act of 2016.) |
| First 5 IMPACT 2020 Funds | Improve and Maximize Programs so All Children Thrive (First 5 IMPACT 2020). County commissions participating in consortia or regional hubs with funds received from First 5 California. |
| 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 First 5 California Funds | Other funds received from First 5 California. Examples: Town Hall Tool Kit, First 5 State Advocacy Fund, California Family Book Distribution Partnership, or other Local Assistance Agreements with First 5 California. (Describe source, purpose, and amount in text boxes.) |
| Other Public Funds | Provide a brief description of other public funds, not from First 5 California or First 5 commissions, received (e.g., additional federal, state, or local public funds). Examples: Federal funds from Maternal, Infant, and Early Childhood Home Visiting (MIECHV), Temporary Assistance for Needy Families (TANF); California funds from Medi-Cal, Mental Health Services Act, CalWORKS, California Home Visiting Program, Dental Transformation Initiative. (Describe source, purpose, and amount in text boxes.) |

| Revenue Source | Description |
|------------------------------|---|
| Grants | Provide grant title and a brief description of grant revenue received. (Describe source, purpose, and amount in text boxes.) |
| Donations | Total donations received by county commission |
| Other Funds or Revenues | Provide a brief description of other funds or revenues received (e.g., from rental, services provided). (Describe source, purpose, and amount in text boxes.) |
| Revenue from Interest Earned | Amount of county interest earned in all Children and Families Trust Fund revenue accounts during FY 2021–22, including Surplus Money Investment Funds (SMIF) |
| Total Revenue | Automatically generated Note: 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. A fourth result area, Improved Systems of Care, was subsequently added to recognize the importance of these activities. This AR-1 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.

Please note: The listing of Service Categories under Result Areas is meant to allow for the greatest possible aggregation of county data at the state level, and *not* to suggest that a particular service or program is narrowly focused towards specific outcomes. Please report expenditures under the Service Category that most closely reflects the intent of the program, using the guidance in the Service Area definitions below.

Tables 2 and 3 specify information required for each cell to complete the Results and Services–Expenditure Details. The directions below are intended to assist counties in reporting data that can be aggregated to show county investments at the statewide level.

How to Enter an Expenditure

The goal of this section is to provide as much detail as possible about county commission investments by Result Area, Service Category, and Grantee Type. Data to enter include expenditures, population served, and program model or initiative.

Number of Persons Served

The number of persons served (children, primary caregivers, providers) in each Result Area/Service Category/Grantee Type should be entered into the AR-1 form. Primary care givers include parents, guardians, and other family members. Table 2 indicates which category of persons served will be aggregated at the statewide level in reports and other communications issued by First 5 California and the First 5 Association. County commissions should make their best estimate using local program data to provide data in the category requested.

Program Model or Initiative

Selection of one or more Program Model or Initiative is optional, but recommended, if a First 5 county commission expends funds to implement models listed.

County commissions may select more than one Program Model within a Service Category. However, selecting more than one program eliminates the possibility of aggregating at the program level. Therefore, if county commissions fund a service with more than one of the identified programs, two choices may be considered for annual

reporting:

- Select the program that is the most important and report just one Program Model.
- Divide the investment into two rows, with each row having the same Service and Grantee Type, but with different counts for persons served and Program Model. Please consult the Association's sample Annual Report submission document for further information.

Program Models/Initiatives Description: County commissions may describe local programs and innovations in the text field provided. This field is optional.

Note: Reporting duplicate counts of persons served 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/Initiatives

| Service Category* | Grantee Type* | Data to Insert* | Program Model or Initiative (Selection is Optional)** |
|---|---|---|---|
| Result Area 1: Improved Family Functioning | | | |
| General Family Support | County Health & Human Services County Office of Education/School District | Expenditures, Number of Persons Served | Abriendo Puertas Avance Core Operating Support Playgroups Triple P Levels 2-3 Five Protective Factors |
| Intensive Family Support | Family Child Care Child Care Centers Higher Education Hospital/Health Plan Resource & Referral Agency (COE or Non-Profit) Other Public | | Incredible Years Nurturing Parenting Program Triple P Levels 4-5 |
| Family Literacy and Book Programs | Community Based Organization Research/Consulting Firm First 5 County Commission Family Resource Center | | Bookmobile California Reads Together Dolly Parton’s Imagination Library Habla Conmigo Kit for New Parents Little by Little Potter the Otter Raising a Reader Reach Out and Read Story Cycles Talk. Read. Sing. Local Model |
| Total | Automatically generated | | |

*Expenditures and number of persons served are reported at the level of Grantee Type after selecting a Service Category.

**Selection of Program Model or Initiative is optional. Program Models listed are intended to be evidence-based. One or more Program Models may be identified by selecting from the list provided. A county program model narrative may be provided but is not required.

Table 2. Result Areas, Service Categories, Grantee Types, and Program Models/Initiatives (continued)

| Service Category* | Grantee Type* | Data to Insert* | Program Model or Initiative (Selection is Optional)** |
|--|---|--|--|
| Result Area 2: Improved Child Development | | | |
| Quality Early Learning Support | County Health & Human Services County Office of Education/School District Family Child Care Child Care Centers Higher Education Hospital/Health Plan | Expenditures, Number of Persons Served | Quality Counts California |
| Early Learning Program Direct Costs | Resource & Referral Agency (COE or Non-Profit) Other Public Community Based Organization Research/Consulting Firm First 5 County Commission Family Resource Center | | Facility Grants Preschool/Childcare Summer Bridge Programs |
| Total | Automatically generated | | |

Table 2. Result Areas, Service Categories, Grantee Types, and Program Models/Initiatives (continued)

| Service Category* | Grantee Type* | Data to Insert* | Program Model or Initiative (Selection is Optional)** |
|---|--|--|---|
| Result Area 3: Improved Child Health | | | |
| General Health Education and Promotion | County Health & Human Services County Office of Education/School District Family Child Care Child Care Centers Higher Education Hospital/Health Plan Resource & Referral Agency (COE or Non-Profit) Other Public Community Based Organization Research/Consulting Firm First 5 County Commission Family Resource Center | Expenditures, Number of Persons Served Unique Families Served* | Nutrition/Breastfeeding Safety Education Smoking or Tobacco Cessation |
| Perinatal and Early Childhood Home Visiting* | | | Early Head Start Healthy Families America Nurse Family Partnership Parents as Teachers Other HomVEE-Approved Welcome Baby Local Model |
| Prenatal and Infant/Toddler Pediatric Support* | | | DULCE Healthy Steps Local Model |
| Oral Health Education and Treatment | | | County commissions may describe local efforts |
| Early Intervention | | | Care Coordination and Linkage Developmental Playgroups Mild-to-Moderate Supports |
| Total | | | Automatically generated |

*Unique Families Served: Unique family means one household. Data field applies to two service categories: Perinatal and Early Childhood Home Visiting, Prenatal and Infant/Toddler Pediatric Support.

Table 2. Result Areas, Service Categories, Grantee Types, and Program Models/Initiatives (continued)

| Service Category* | Grantee Type* | Data to Insert* | Program Model or Initiative (Selection is Optional)** |
|--|--|--|--|
| Result Area 4: Improved Systems of Care | | | |
| Policy and Public Advocacy | County Health & Human Services County Office of Education/School District Family Child Care Child Care Centers Higher Education Hospital/Health Plan Resource & Referral Agency (COE or Non-Profit) Other Public Community Based Organization Research/Consulting Firm First 5 County Commission Family Resource Center | Expenditures, Number of Persons Served | Resilient Families and Communities Child Health Early Learning Revenue Sustainability |
| Systems Building | | | Early Identification and Intervention Health Systems Family Resiliency Place-Based Trauma Informed Care/ACEs |
| Emergency and Disaster Relief | | | Direct Material Support Coalition Building |
| Total | Automatically generated | | |

Expenditure Detail

The Expenditure Detail summarizes program, administrative, and evaluation expenditures. Refer to the First 5 Financial Management Guide for detailed expenditure specifications. Table 3 on the next page specifies information required for each cell to complete the Expenditure Detail section.

For FY 2021–22, county commissions receiving Small Population County Funding Augmentation (SPCFA) are no longer required to include additional SPCFA detail when reporting expenditures.

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

Table 3. Expenditure Detail

| Detail | Description | SPCFA Detail |
|---|---|--|
| FY 2021–22 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 2020–21 (e.g. capital expenditures) | Not required for FY 2021–22. Removed from data system. |
| FY 2021–22 Administrative Expenditures | <p>Total Administrative Expenditures for FY 2021–22 which may include:</p> <ul style="list-style-type: none"> • Salaries and Wages • Overhead costs (rent, utilities, etc.) <p><u>Do not include:</u></p> <ul style="list-style-type: none"> • Direct program costs (outreach, education, or technical assistance) • Direct evaluation costs (education or technical assistance) • Other grantee capacity building | Not required for FY 2021–22. Removed from data system. |
| FY 2021–22 Evaluation Expenditures | <p>Total Evaluation Expenditures for 2021–22</p> <p>Do not include:</p> <ul style="list-style-type: none"> • Administrative costs • Direct program costs (outreach, education, or technical assistance) • Other grantee capacity building | Not required for FY 2021–22. Removed from data system. |
| Total Expenditures | Automatically generated. Note: must match audited financial statements. | Not required for FY 2021–22. Removed from data system. |
| Excess (Deficiency) of Revenues over (Under) Expenses | Automatically Generated | Not required for FY 2021–22. Removed from data system. |

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 2021–22 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, 2021 | Enter end of year fund balance from FY 2020–21 financial statements, with adjustments if applicable |
| Fund Balance – Ending June 30, 2022 | Automatically generated |
| Net Change in Fund Balance | Automatically generated |

FY 2021–22 Fund Balance Status

This section collects data related to FY 2021–22 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 2021–22
- 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

| Category | Data to Insert |
|---|--|
| 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 rd to 6 th Birthday | |
| Children – Ages Unknown (birth to 6 th Birthday) | |
| Primary Caregivers* | |
| Providers | |
| Total Population Served | Automatically Generated |

*Includes parents, guardians, and other family members (see Appendix C).

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. 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 |
|---|--|
| American Indian or Alaska Native | Unduplicated counts of persons who participated in activities or received services directly from program staff or volunteers |
| Asian | |
| Black or African American | |
| Hispanic | |
| 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 Note: 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 |

*In this format, all race groups are of non-Hispanic ethnicity. Hispanic persons of any race are reported under the category of Hispanic ethnicity. Based on U.S. Office of Management and Budget guidelines: “Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity,” *Federal Register*, Vol. 62, No. 210, 1997).

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. 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 Note: 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. Use the rating scale to 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 and Highlights (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 also are reported and will be published in F5CA's Annual Report.

County Commission Annual Reports or Evaluation Reports

In support of the AR-3 evaluation summary and highlights, county commissions must provide annual reports or evaluation reports in Adobe Acrobat (pdf) format to statutorydocuments@ccfc.ca.gov.

For additional information, see guidelines provided in the **Statutory Documents** section (page 29).

County Evaluation Summary and Highlights (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. (2,000 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"> • Evaluation of specific programs or initiatives • Collection of participant and outcome data for populations served • Evaluation findings or conclusions • Intervention outcomes (e.g., impact to children or family) • Process outcomes (e.g., program fidelity information) • Differences between actual and expected results • Decisions made based on the results • Funding strategy changes were made or anticipated to be made • Design of future evaluation studies • How evaluation information will be used to update the county strategic plan |
| <p>Describe two or three highlights or accomplishments during the fiscal year. (2,000 characters maximum)</p> | <ul style="list-style-type: none"> • Child and family outcomes • Program/process outcomes • Efforts to address family resilience • Health and development • Quality early learning • Sustainability and scale • Handling a community crisis (e.g., natural disaster) |

Statutory Documents

Purpose

To comply with statute, county commissions are required to provide certain documents to F5CA. Statutorily required document types include:

- Strategic Plans
- Annual Reports
- Evaluation Reports

For statutory requirements about documents to be provided to F5CA, see Health and Safety Code, Section 130140 (strategic plans) and Section 130150 (annual reports, evaluation reports).

Submitting County Commission Documents: Strategic Plans, Annual Reports, Evaluation Reports

County commissions must submit their statutory documents in electronic format to the email address statutorydocuments@ccfc.ca.gov, subject line: "<county name> <document type>." County commissions will be notified if F5CA develops alternate means for electronic document submittal such as web browser upload.

The preferred electronic document format is Adobe Acrobat (pdf).

Statutory documents are not required to be submitted on the due date used for the annual report data system. Statutory documents may be submitted to F5CA as published by each county commission.

Appendix A: Result Area, Service, Grantee, and Program Model Definitions

Result Area 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, including meals, groceries, clothing, and temporary or permanent housing acquisition assistance. (Unplanned expenditures made in response to a community disruption such as a natural disaster should be reported under Emergency and Disaster Relief). General family support may include general playgroup programs that provide parents/caregivers with opportunities to engage, learn and play with their children. Playgroups are structured, intentional opportunities for parents and/or caregivers and their young children to engage, learn, and play to support the optimal development of the child, the social-emotional needs of the family, and increase social connectedness. General family support may also include referrals to family services such as Family Resource Centers (FRCs) and other community resources. Core Operating Support includes staff, facilities, materials and other general operating costs associated with an organization's day to day functioning. 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.

Program Models/Initiatives: Abriendo Puertas, Avance, Core Operating Support, Playgroups, Triple P Levels 2-3, Five Protective Factors

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).

Program Models/Initiatives: Incredible Years, Nurturing Parenting Program, Triple P Levels 4-5

Family Literacy and Book Programs

Programs promoting family literacy, parent-child book sharing, or book ownership for families with children ages birth to 5. The *Kit for New Parents* and Talk. Read. Sing.[®] may be included if these statewide efforts are locally modified to promote literacy, for example, by adding a children's book to the *Kit*, or using Talk. Read. Sing.[®] as a message for distributing books. California Reads Together is a new statewide effort under consideration at the time of this writing.

Program Models/Initiatives: Bookmobile, California Reads Together, Dolly Parton's Imagination Library, Habla Conmigo, Kit for New Parents, Little by Little, Potter the Otter, Raising a Reader, Reach Out and Read, Story Cycles, Talk. Read. Sing.,[®] Local Model.

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 quality rating and improvement system (QRIS) investments as part of First 5 IMPACT and Quality Counts California.

This service category covers ECE settings work, most commonly by licensed care providers, but is also inclusive of alternative settings such as Family Resource Centers, Family Friend and Neighbor Care, Boys and Girls Clubs, and libraries. Non-ECE settings work should be reported under General Family Support.

This service category may include interagency collaboration, quality improvement supports, support services to diverse populations, and database management and development.

Program Models or Initiatives: Quality Counts California

Early Learning Program Direct Costs

Early learning programs for children 0–5 years old, with direct costs for First 5 county commissions, which may include preschool programs, kindergarten transition services, and early learning programs for all ages. Programs may include child related early literacy and Science, Technology, Engineering, and Math (STEM) programs; programs for homeless children; migrant programs; and similar investments.

Extra supports in early learning settings for homeless children, Federal Migrant or Tribal Child Care programs and children receiving Alternative Payment (AP) vouchers for childcare should be included here.

Program Models/Initiatives: Facility Grants, First 5 funded Preschool/Childcare Reimbursement, Summer Bridge Programs

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.

Program Models/Initiatives: Nutrition/Breastfeeding, Safety Education, Smoking or Tobacco Cessation

Perinatal and Early Childhood Home Visiting

Home visiting is a primary service delivery strategy for inter-generational family-centered supports. Home visiting services are provided in the home by qualified professionals with parents, prenatally and/or with children birth to age three. These voluntary programs tailor services to meet the needs of individual families and offer information, guidance, and support directly in the home environment. While home visiting programs vary in goals and content of services, in general, they combine parenting and health care education, early intervention, and early learning supports for young children and their families. Their visits focus on linking pregnant women with prenatal care, promoting strong parent-child attachment, and coaching parents on learning activities that foster their child's development and supporting families during the pivotal window of pregnancy through early childhood.

Program Models/Initiatives: Early Head Start, Healthy Families America, Nurse Family Partnership, Parents as Teachers, Other HomVEE-Approved, Welcome Baby, Local Model

A list of evidence-based home visiting models reviewed by the federal Administration for Children and Families is available at <https://homvee.acf.hhs.gov/>.

Prenatal and Infant/Toddler Pediatric Support

Out-of-home programs that may include prenatal care and follow-up for healthy development-related services during the first three years of a child's life. These programs are designed to improve the health and well-being of women during and after pregnancy, and the infant or young child by a paraprofessional and/or professional outside of the family home, including, but not limited, to pediatric or clinical environments. Programs may provide comprehensive support, including parenting education, health information, developmental assessments, providing referrals, and promoting early learning.

Program Models/Initiatives: DULCE, Healthy Steps, Local Model

Oral Health Education and Treatment

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.

Program Models/Initiatives: County commissions may describe local efforts.

Early Intervention

Programs providing screening, assessment, and diagnostic services, including referrals or follow-up to needed 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. Developmental playgroups are specifically intended for children who have been identified as at-risk for developmental delays. Additionally, the playgroup staff are trained to support each child's specific early intervention goals. 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 provided in Appendix D.

Program Models/Initiatives: Care Coordination and Linkage, Developmental Playgroups, Mild-to-Moderate Supports

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 Models/Initiatives: Resilient Families and Communities, Child Health, Early Learning, Revenue Sustainability

Program and Systems Improvement Efforts

Efforts to improve service quality, connections between programs, infrastructure support, and professional development. This also may include activities such as strategic planning, 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. For example, Help Me Grow system efforts should be reported here under Early Identification and Intervention. Improvements could be geared toward creating a well-trained workforce with shared professional standards and competencies, creating strong and effective linkages across system components, or leveraging funding to sustain the system of care. Database management and other cross-agency systems evaluation support should be reported here.

Program Models/Initiatives: Early Identification and Intervention, Family Resiliency, Health Systems, Place-Based, Trauma Informed Care/ACEs

Emergency and Disaster Relief

An unplanned expenditure that is made in response to a community disruption resulting from local, regional, or statewide events such as fires, earthquakes, floods, widespread illness (epidemic, pandemic), or riots. Direct materials or support may include addressing immediate needs of individuals or communities for items such as diapers, clothing, food, shelter, transportation, childcare, and lost wages. Coalition building means funding that is used in concert with other philanthropic, government, and business partners to support broader emergency response systems efforts.

Program Models/Initiatives: Direct Material Support, Coalition Building

Grantee Type Definitions

County Health and Human Services: County government agencies such as departments of public health or social services.

County Office of Education/School District: County offices of education supporting local school districts. For county offices, see <https://www.cde.ca.gov/SchoolDirectory/county-offices-of-education>. For school districts, see <https://www.cde.ca.gov/schooldirectory>.

Family Child Care: In family childcare homes providers are licensed and care for small groups of children in a residential building. Often this type of care has one or two caregivers and may offer non-traditional hours.

Child Care Centers: Childcare centers are licensed facilities and often group children by age and are typically operated out of non-residential, commercial buildings. Centers are larger and enroll more children with a dedicated director and numerous staff members.

Higher Education: Public or private institutions such as community colleges, four-year colleges, and universities providing education beyond the K-12 level.

Hospital/Health Plan: Healthcare provider or special insurance plan.

Resource and Referral Agency (COE or Non-Profit): Agencies providing information to the public on the availability and quality of childcare as part of a county office of education or as a non-profit organization.

Other Public: Public agencies not listed above.

Community-Based Organization/Non-Profit: A public or private nonprofit organization representative of a community or a significant segment of a community that works to meet community needs.

Research/Consulting Firm: A for-profit or non-profit organization providing research, evaluation, or marketing services.

First 5 County Commission: A county commission established under the California Children and Families Act.

Family Resource Center: A community-based resource hub where families can access formal and informal supports to promote health and well-being.

Program Model or Initiative Definitions

For definitions of Program Model or Initiatives, please refer to the Glossary within the annual report data system.

Appendix B: Population Reporting by Result Area and Service Category

| | Children Ages 0–5 | Primary Caregivers* | Providers |
|---|----------------------|------------------------|-----------|
| Improved Family Functioning | | | |
| General Family Support | X | X | X |
| Intensive Family Support | X | X | X |
| Family Literacy and Book Programs | X | X | X |
| Improved Child Development | | | |
| Quality Early Learning Supports | X | X | X |
| Early Learning Programs | X | X | X |
| Improved Child Health | | | |
| General Health Education and Promotion | X | X | X |
| Perinatal and Early Childhood Home Visiting | X | X | X |
| Prenatal and Infant/Toddler Pediatric Support | X | X | X |
| Oral Health Education and Treatment | X | X | X |
| Early Intervention | X | X | X |
| Improved Systems of Care | | | |
| Policy and Public Advocacy | NA | NA | NA |
| Program and Systems Improvement Efforts | NA | NA | NA |
| Emergency and Disaster Relief | NA | NA | NA |

*Includes parents, guardians, and other family members (see Appendix C).

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 birth 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 children age birth to sixth birthday may be aggregated under Primary Caregivers.

Primary Caregivers: Adults acting as the primary caregivers for a child from birth to their sixth birthday who receive direct services from a commission program. Includes parents, legal guardians, foster parents, grandparents, and 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 U.S. 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.

Unique Families Served: A distinct household, counting as one unit all children, parents, or primary caregivers within the household, even though one or more children, parents, or primary caregivers may have received services as an individual.

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 or Initiative: Name of the evidence-based, evidence-informed, or promising practice strategy providing services or education to populations served by First 5 county commissions. Evidence-informed/promising practice means programs and strategies that have some quantitative or qualitative data showing positive outcomes over a period of time, but do not have enough research or replication to support generalized outcomes.

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).
- 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 Assistance 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.

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 (see Appendix A).

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: Annual Reporting Overview

| Fiscal and Program | Demographic | Evaluation |
|--|---|--|
| <p>AR-1 County Revenue and Expenditure Summary: First 5 county commission fiscal and service data showing the relationship between financial resources and programs/initiatives funded</p> | <p>AR-2 County Demographic Worksheet: First 5 county commission demographic information about populations served at the county level</p> | <p>AR-3 County Evaluation Summary and Highlights: First 5 county commission results and accomplishments</p> |
| <p>Revenue detail by source</p> | <p>Population served by age categories, race/ethnicity, and primary language</p> | <p>Description of evaluation activities completed, findings, and their policy impact</p> |
| <p>Expenditure detail by result area, service category, grantee type, and program model or initiative</p> | <p>Duplication assessment</p> | <p>County highlights summarizing accomplishments to include in the F5CA Annual Report</p> |
| <p>Population served (children, primary caregivers, and providers)</p> | | |